U.S. ARMY SERGEANTS MAJOR ACADEMY (ANCOC)

L428 OCT 03

COUNSEL SUBORDINATES

# TRAINING SUPPORT PACKAGE

**TRAINING SUPPORT PACKAGE (TSP)**

| | |
|---|---|
| **TSP Number / Title** | L428 / COUNSEL SUBORDINATES |
| **Effective Date** | 01 Oct 2003 |
| **Supersedes TSP(s) / Lesson(s)** | L403, Counsel Subordinates, Oct 00 |
| **TSP Users** | 600-ANCOC, Advanced Noncommissioned Officer Course |
| **Proponent** | The proponent for this document is the Sergeants Major Academy. |
| **Improvement Comments** | Users are invited send comments and suggested improvements on DA Form 2028, *Recommended Changes to Publications and Blank Forms.* Completed forms, or equivalent response, will be mailed or attached to electronic e-mail and transmitted to:<br><br>COMDT USASMA<br>ATTN ATSS D<br>BLDG 11291 BIGGS FIELD<br>FT BLISS TX 79918-8002<br><br>Telephone (Comm): (915) 568-8875<br>Telephone (DSN): 978-8875<br><br>e-mail: atss-dcd@bliss.army.mil |
| **Security Clearance / Access** | Unclassified |
| **Foreign Disclosure Restrictions** | FD5. This product/publication has been reviewed by the product developers in coordination with the USASMA foreign disclosure authority. This product is releasable to students from all requesting foreign countries without restrictions. |

## PREFACE

**Purpose**

This Training Support Package provides the instructor with a standardized lesson plan for presenting instruction for:

| Task Number | Task Title |
|---|---|
| 158-100-1260 | Counsel Subordinates |

**This TSP Contains**

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**COUNSEL SUBORDINATES**
**L428 / Version 1**
**01 Oct 2003**

## SECTION I. ADMINISTRATIVE DATA

**All Courses Including This Lesson**

| Course Number | Version | Course Title |
|---|---|---|
| 600-ANCOC | 1 | Advanced Noncommissioned Officer Course |

**Task(s) Taught (*) or Supported**

| Task Number | Task Title |
|---|---|
| 158-100-1260 (*) | Counsel Subordinates |

**Reinforced Task(s)**

| Task Number | Task Title |
|---|---|
| 158-100-1140 | Communicate Effectively in a Given Situation |
| 158-100-1180 | Develop Subordinate Leaders in a Squad |
| 158-100-1271 | Develop Subordinate Leaders in a Platoon |
| 158-100-1361 | Develop A Unit Counseling Program |
| 158-100-1373 | Develop Subordinate Leaders in a Company |

**Academic Hours**

The academic hours required to teach this lesson are as follows:

| | Resident Hours/Methods | |
|---|---|---|
| | 2 hrs 10 mins | /Conference / Discussion |
| | 2 hrs 40 mins | /Practical Exercise (Performance) |
| Test | 0 hrs | |
| Test Review | 0 hrs | |
| Total Hours: | 5 hrs | |

**Test Lesson Number**

| | Hours | Lesson No. |
|---|---|---|
| Testing (to include test review) | 4 hrs | E403 version 1 |

**Prerequisite Lesson(s)**

| Lesson Number | Lesson Title |
|---|---|
| None | |

**Clearance Access**

Security Level: Unclassified
Requirements: There are no clearance or access requirements for the lesson.

**Foreign Disclosure Restrictions**

FD5. This product/publication has been reviewed by the product developers in coordination with the USASMA foreign disclosure authority. This product is releasable to students from all requesting foreign countries without restrictions.

**References**

| Number | Title | Date | Additional Information |
|---|---|---|---|
| DA PAM 600-25 | US ARMY NONCOMMISSIONED OFFICER PROFESSIONAL DEVELOPMENT GUIDE | 15 Oct 2002 | |
| FM 22-100 | ARMY LEADERSHIP | 31 Aug 1999 | |
| FM 7-22.7 | THE ARMY NONCOMMISSIONED OFFICER GUIDE | 23 Dec 2002 | |

**Student Study Assignments**

Before class--

- Read FM 22-100, chapters 2 and 5 and Appendixes B and C.
- Read FM 7-22.7, chapter 5 SH-11, and extract of DA PAM 600-25, (SH-6).
- Complete Student Homework Assignment.

During class--

- Participate in class discussion and pass out PEs and solutions.
- Observe a video taped counseling session.
- Complete Observer's Worksheet on video and each PE session.

After class--

- Review all reference material.
- Participate in After Action Review for this lesson.

**Instructor Requirements**

1:16, ANCOC graduate, served as a platoon sergeant, ITC, and SGITC qualified

**Additional Support Personnel Requirements**

| Name | Stu Ratio | Qty | Man Hours |
|---|---|---|---|
| None | | | |

**Equipment Required for Instruction**

| ID Name | Stu Ratio | Instr Ratio | Spt | Qty | Exp |
|---|---|---|---|---|---|
| 441-06 LCD Projection System | 1:16 | 1:1 | No | 1 | No |
| 559359 SCREEN PROJECTION | 1:16 | 1:1 | No | 1 | No |
| 5820-00-T81-6161 VCR | 1:16 | 1:1 | No | 1 | No |
| 702101T134520 DELL CPU, MONITOR, MOUSE, KEYBOARD | 1:16 | 1:1 | No | 1 | No |
| 7110-00-T81-1805 DRY ERASE BOARD | 1:16 | 1:1 | No | 1 | No |
| 7510-01-424-4867 EASEL, (STAND ALONE) WITH PAPER | 1:16 | 1:1 | No | 1 | No |

| | | | | | |
|---|---|---|---|---|---|
| SNV1240262544393<br>36 - INCH COLOR MONITOR W/REMOTE CONTROL AND LUXOR STAND | 1:16 | 1:1 | No | 1 | No |

* Before Id indicates a TADSS

**Materials Required**

**Instructor Materials:**

- VGTs: 26.
- TSP.
- Copies of the practical exercises.
- Copies of all student handouts.
- DA Video 710942, "Developmental Counseling“.
- FM 22-100.

**Student Materials:**

- Student Handouts.
- FM 22-100.
- Pencils or pens and writing paper.

**Classroom, Training Area, and Range Requirements**

Classroom Instruction 1200 SF, 16 PN

**Ammunition Requirements**

| Id | Name | Exp | Stu Ratio | Instr Ratio | Spt Qty |
|---|---|---|---|---|---|
| None | | | | | |

**Instructional Guidance**

**NOTE:** Before presenting this lesson, instructors must thoroughly prepare by studying this lesson and identified reference material.

**NOTE:** The intent of this lesson is for students to review developmental counseling doctrine, practice counseling techniques, familiarize students with unit counseling program management, review and practice subordinate leader assessment and development techniques, and familiarize students with mentorship of subordinate leaders.

Before class--

- Assign Student Discussion Leader at least three days prior to class.
- Issue all student handouts to include the homework assignment.
- Issue all recoverable materials NLT three days prior to class.
- Read all TSP and references.
- Study and be ready to assist the Student Discussion Leader with the PEs.
- View the video and review the Observer's Worksheet.

During class--

- Assist the Student Discussion Leader during the PEs.
- Instructor helps the SDL with the discussion of counseling and the Developmental Counseling Form.
- Students observe counseling situations in the video "Developmental Counseling." After each situation, students critique the counseling using the Observer's Worksheet contained in Appendix D.
- Before the role-playing practical exercise, place the students into three-person groups.

**NOTE:** The instructor will select two students per situation for the PE role-play part of this lesson. One student plays the role of the leader, another plays the role of the subordinate and the rest of the class will participate as observers. The observers will evaluate the counselors using the criteria on the Observer's Worksheet. The counselors must use the Developmental Counseling Form. At the end of each PE, the classes will then review and discuss the Observer's Worksheet observations and the Developmental Counseling Forms and compare them to the solution sheet DA Form 4856s. The instructor will collect and review forms for doctrinal techniques learned.

- During ELO A, Learning Step/Activity 1, give the students an opportunity to surface questions concerning their reading and the homework assignment.

After class--

- Collect all recoverable material.
- Report any TSP discrepancies to the Senior Small Group Leader.
- Conduct After Action Review for this TSP.

**Proponent Lesson Plan Approvals**

| Name | Rank | Position | Date |
|---|---|---|---|
| Wilson, Karen M. | GS09 | Training Specialist | |
| Eichman, Guy A. | MSG | Course Chief, ANCOC/BNCOC | |
| Lawson, Brian H. | SGM | Chief, NCOES | |
| Mays, Albert J. | SGM | Chief, CDDD | |

**SECTION II. INTRODUCTION**

Method of Instruction: Conference / Discussion
Technique of Delivery: Small Group Instruction (SGI)
Instructor to Student Ratio is: 1:16
Time of Instruction: 5 mins
Media: None

**Motivator**

As a senior SSG or junior SFC, you have been counseling soldiers for a few years now. As a new senior NCO, you are responsible for developing the counseling skills of your subordinate leaders. You are also now responsible for supervising your unit level counseling program in your platoon or section and mentoring and developing your subordinate leaders. In this short period of training on counseling, you will review fundamentals of counseling, review the assessment and development of subordinate leaders, familiarize yourself with supervision of a unit counseling program, mentorship, and have the opportunity to apply these fundamentals in some very realistic counseling and supervision situations that are appropriate to your grade and experience level. This training will build onto your base of counseling and supervisory skills that you will continue to develop as you grow as a leader.

**Terminal Learning Objective**

**NOTE:** Inform the students of the following Terminal Learning Objective requirements. At the completion of this lesson, you [the student] will:

| | |
|---|---|
| **Action:** | Counsel Subordinates. |
| **Conditions:** | In a classroom environment, given FM 22-100, FM 7-22.7, student handouts, and the role of a platoon sergeant or staff NCO in a unit or organization. |
| **Standards:** | Counseled subordinate by—<br>• Describing an effective unit-counseling program.<br>• Assessing leadership actions at developmental counseling and mentorship of the subordinate leaders.<br>• Demonstrating the ability to develop subordinate leaders by using procedures in practical exercise situations.<br>IAW FM 22-100 and FM 7-22.7. |

| | |
|---|---|
| **Safety Requirements** | None |
| **Risk Assessment Level** | Low |
| **Environmental Considerations** | **NOTE:** It is the responsibility of all soldiers and DA civilians to protect the environment from damage. |
| **Evaluation** | At the end of this course of instruction, you will take a 50-question written objective examination. This examination will include questions on the TLO and ELOs from this lesson. You must correctly answer 35 questions or more to receive a passing score (70 percent). This is a graduation requirement. |
| **Instructional Lead-In** | Developmental Counseling is an important responsibility of all leaders. During your military careers you as a leader counseled your subordinates and you were counseled by your superiors. Your subordinate leaders' counseling actions constitute your counseling program. As a senior Noncommissioned Officer, it is now your duty to ensure they are conducting effective, quality counseling. You must prevent them from reserving counseling for circumstances involving poor performance and problems. You must dispel the widespread perception that counseling is negative. Rather than being a punitive action, your developmental counseling program should turn negative events into developmental opportunities. In this training you will review the fundamentals of counseling your subordinates in a manner that focuses on subordinate-centered communication and subordinate leader development. |

## SECTION III. PRESENTATION

**NOTE:** Inform the students of the Enabling Learning Objective requirements.

### A. ENABLING LEARNING OBJECTIVE

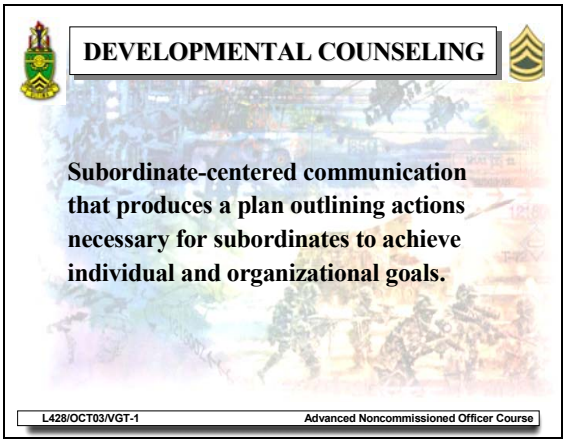
| | |
|---|---|
| **ACTION:** | Describe an effective unit counseling program. |
| **CONDITIONS:** | In a classroom environment, given FM 22-100 and FM 7-22.7, and the role of a platoon sergeant or staff NCO in a unit or organization. |
| **STANDARDS:** | Described an effective unit counseling program by—<br><br>• identifying the four elements of an effective unit counseling program,<br>• identifying stages of the counseling process,<br>• identifying leader's responsibilities,<br>• identifying the types of counseling, and<br>• identifying the proper use of the DA Form 4856,<br><br>IAW FM 22-100, Appendix C and FM 7-22.7, Chapter 5. |

1. Learning Step / Activity 1. Developmental Counseling

Method of Instruction: Conference / Discussion
Technique of Delivery: Small Group Instruction (SGI)
Instructor to Student Ratio: 1:16
Time of Instruction: 45 mins
Media: VGT-1 thru VGT-15

This block of instruction examines the elements of an effective unit-level counseling program. We will review the fundamentals of counseling that you should look for in your counseling program. We will also review the development of subordinates into competent and confident leaders. The goal of counseling is to help develop soldiers and to clearly show them what it takes to be successful in today's Army. Senior NCOs must provide each of their soldiers and junior leaders with the best possible road map to success. Your developmental counseling program should empower soldiers to achieve goals, not confuse, intimidate, or have a negative impact on them.

**SHOW VGT-1, DEVELOPMENTAL COUNSELING**




Ref: FM 22-100, para C-4

QUESTION: Why should counseling lead to achievement of goals?

ANSWER: FM 7-22.7 states soldiers want to be counseled and will respond to counseling because they want to know what it takes to be successful in today's Army. Counseling is a type of communication which leaders use to empower soldiers to achieve goals by producing a plan that outlines actions that subordinates must take to achieve these goals. It is much more than providing feedback or direction.

Ref: FM 7-22.7, para 5-2

**NOTE:** To encourage student discussion ask the following question: How does counseling relate to leadership? Ensure discussion covers: it is communication aimed at developing a subordinate's ability to achieve individual and unit goals.

Without a goal in mind, or a clear understanding of the goal, the communication may lack focus; the counseling may simply be conversation. Leaders sometimes contort the meaning of counseling and consider routine feedback and communication to be counseling. Although we encourage this informal counseling, developmental counseling is much more than telling a subordinate how they are doing. Leaders conduct counseling to develop soldier's ability to achieve personal and organizational goals and to prepare them for increased responsibilities. Leaders need to plan for and schedule counseling. Counseling is **so** important that platoon sergeants should ensure that it is on the training schedule.

Several programs have counseling requirements associated with them. Leaders counsel because it is their duty and the primary tool in developing future leaders. Leaders are responsible for developing their soldiers. Unit readiness and

mission accomplishment depend on every soldier's ability to perform to established standards. Counseling is at the discretion of the leader when to counsel and when not to counsel. Leaders choose to counsel because it's the right thing to do. Whenever there is a need for focused two-way communication aimed at subordinate development, a leader should counsel. Leaders conduct counseling to help soldiers become members of the team, maintain or improve performance, and to prepare for the future.

QUESTION: When should a leader counsel to develop subordinates?

ANSWER: Whenever there is a need for focused, two-way communication aimed at subordinate development. Professional growth counseling begins with initial counseling within 30 days of arrival. Additional counseling occurs **quarterly thereafter with an assessment at a minimum of once a month.** Counseling is a continuous process.

Ref: FM 22-100, para C-56 and FM 7-22.7, para 5-30

**REMOVE VGT-1**

**NOTE:** Before showing the next VGT on the elements of an effective counseling program, ask the students to list the essential elements for the establishment of an effective unit-counseling program.

**SHOW VGT-2, ELEMENTS OF AN EFFECTIVE UNIT COUNSELING PROGRAM**

Ref: FM 7-22.7, para 5-8
QUESTION: Who is responsible for developing the counseling skills of subordinate leaders?

ANSWER: The answer is **you**. Senior NCOs have the responsibility to develop the counseling skills of their subordinates.

Ref: FM 7-22.7, para 5-6

**Education and Training:** The unit's junior leaders conduct the majority of the counseling Armywide. One of the hardest tasks for junior leaders is to look their subordinates' square in the eye and give them an honest assessment of how well they are doing. For any counseling to be effective the counselor must be honest and have the personal courage to give straightforward feedback. Senior NCOs can and must train their junior leaders by providing them a base of education. They must show their subordinates what right looks like. The Noncommissioned Officer Education System (NCOES) has the primary responsibility to educate the NCO Corp. However, NCOES cannot do this alone. NCOs must take the education and training they receive in NCOES and vigorously apply it once they return to their units. Senior NCOs must also ensure that their junior leaders returning from BNCOC and PLDC implement and build upon the training they received.

**Experience:** NCOs gain experience by doing with guidance from more senior leaders. NCOs must practice counseling while at the same time receiving guidance and mentoring on how to improve counseling techniques. As senior NCOs, it is your duty to provide this guidance and mentoring to your junior leaders. You must share your wealth of experience and continue to develop your own skills through practice and self-development.

**Continued Support from both the Army and unit leaders:** The unit counseling program gains significant effectiveness with continued support from the unit leaders and Army resources. FM 22-100, FM 7-22.7, DA Pam 600-25, and the Army counseling website provide useful resources to create and sustain a counseling program. Leaders must support the unit counseling program through spot checks and random monitoring of counseling sessions. An effective technique is for the senior NCO to sit in on a counseling session and then an AAR with the junior NCO.

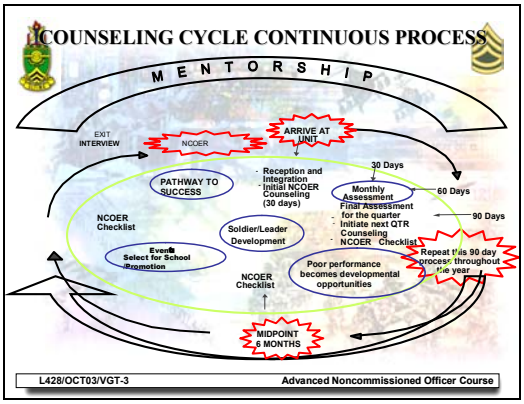
**Enforcement:** For a unit counseling program to maintain its effectiveness, leaders must be held accountable. This will ensure that unit leaders adhere to acceptable counseling standards for both frequency and content. This is

accomplished by some type of unit inspection or a compliance program in place, even as low as the platoon level.

Ref: FM 7-22.7, para 5-6 thru 5-8

**REMOVE VGT-2**

**SHOW VGT-3, COUNSELING CYCLE CONTINUOUS PROCESS**




Ref: FM 7-22.7, para 5-5 thru 5-32

**NOTE:** After allowing students to view the VGT, ask for volunteers to talk the class through the counseling cycle.

Counseling is a continuous process that supports the mentorship program. It starts when the soldier arrives at the unit and continues throughout the soldier's time within the unit. The final counseling soldiers receive is during their exit brief.

The first counseling a soldier receives is the reception and integration counseling. Then followed up by the initial NCOER counseling (within the first 30 days for all NCOs) if not included as part of the reception and integration counseling. Then followed up by the initial NCOER counseling (within the first 30 days for all NCOs) if not included as part of the reception and integration counseling. Developmental counseling at the beginning of and during evaluation periods facilitates the soldier's involvement. Counseling communicates standards and is an opportunity for leaders to establish and clarify the expected values, attributes, skills, and actions. The leader assesses the plan of action and subordinate's performance using the assessment block of the same counseling form the following month. He sits down with the soldier, reassesses the plan of action, and documents progress.

Conduct the counseling process again the following month, and then closed out at the end of the quarter. Conduct all counseling on the same form (with an added continuation sheet if needed). As a senior NCO, you must ensure you have tied expectations to performance objectives and appropriate standards. You must establish realistic standards that your soldiers can work towards and must teach them how to achieve those standards if they are to develop. Performance and professional growth counseling is a more focused method to develop junior NCOs and easily ties into quarterly NCOER counseling.

Ref: FM 7-22.7, para 5-2 thru 5-25

**REMOVE VGT-3**

**SHOW VGT-4, CATEGORIES OF DEVELOPMENTAL COUNSELING**

Ref: FM 22-100, App C, para C-27

**Counseling for specific instances:** FM 22-100 state sometimes counseling is tied to specific instances. You must ensure that your subordinate leaders conduct counseling for superior performance as well as substandard performance as close to the event as possible. To conduct a check on your subordinate leaders, you should monitor the ratio of superior to substandard performance counseling incidents. It is a common tendency to conduct formal counseling for substandard performance and informal counseling for instances of superior performance. **Reception and integration counseling** serves two purposes. It identifies and gives you a chance to help fix any problems or concerns that new members may have resulting from the new duty assignment, and it lets them know the organizational standards and how they fit into the team. **Crisis counseling** focuses on the subordinate's immediate, short-term needs. You may conduct crisis counseling to get a subordinate through the initial shock after receiving negative news, such as notification of the death of a loved one. **Referral counseling** may act as preventative counseling before the situation becomes a problem. Usually, the leader assists the subordinate in identifying the problem and refers him or her to the appropriate activity. AR 600-8-19 requires counseling of soldiers not recommended for **promotion**, but eligible for promotion without a waiver. Keeping your subordinates informed on their promotion eligibility is a valuable morale-enhancing tool. Developmental counseling may not apply when an individual has engaged in more serious acts of misconduct. When a leader's rehabilitative efforts fail, counseling with a view towards adverse **separation** fills an administrative prerequisite to many administrative discharges and serves as a final warning to the soldier to improve performance or face discharge.

**NOTE:** Facilitate discussion from the class about their experiences conducting event oriented counseling in their units.

Ref: FM 22-100, App C, para C-28 thru C-37

**REMOVE VGT-4**

**SHOW VGT-5, CATEGORIES OF DEVELOPMENTAL COUNSELING (cont)**

Ref: FM 22-100, App C, para C-38 thru C-45

**Performance Counseling:** During performance counseling, the leader completes the assessments of the subordinate's duty performance throughout the previous quarter. Leadership uses performance assessments to determine what dimensions need improvement. Coaching includes maintaining leadership strengths and improve leadership weaknesses in performance counseling. This aspect of developmental counseling includes using the counseling requirements such as those prescribed in the NCO Evaluation Reporting System as more than paper drills. It means taking the time throughout the reporting period to discuss performance objectives and provide meaningful assessments and feedback. The assessment portions of developmental counseling sessions are useful tools to develop quantitative bullets for evaluation reports.

As senior NCOs, you must monitor your subordinate leaders' counseling skills. New NCOs are sometimes uncomfortable confronting their subordinates who are not performing to standard. You must remind them that counseling is not about how comfortable or uncomfortable they are. Counseling is about improving the performance or developing the character of their soldiers. Your subordinate NCOs must conduct leadership performance assessments and developments with all of their soldiers, not just the ones they think have the most potential.

Ref: FM 22-100, para 5-90 thru 5-97 and App C, para C-38 thru C-41

**Professional Growth Counseling:** The future of the Army depends on the trained and effective leaders whom you develop to replace you. As you assume positions of greater responsibility, and as the number of people for whom you are responsible increases, you need to do even more to develop your subordinates. Professional growth counseling includes planning for the accomplishment of individual and professional goals. Sometimes it requires you to set priorities, to balance short-term readiness with long-term leader development. Mentoring will lead your subordinates to successes that build their confidence and skills for the future. You must give your subordinate leaders the opportunity to learn and develop themselves while using your experience to guide them without micromanaging. Sometimes the most valuable lessons are those learned through making mistakes.

It is imperative for all leaders to conduct professional growth counseling with their soldiers to develop the leaders of tomorrow. Professional growth counseling begins as an initial counseling within 30 days of arrival to a new unit. Additional counseling occurs quarterly thereafter with an assessment at a minimum of once a month. All leaders should use the performance indicators found in Appendix B of FM 22-100 as an assessment tool when counseling their soldiers. This will assist them in providing specific, precise and objective guidance to their soldiers.

FM 22-100 states while these categories can help you organize and focus counseling sessions, they should not be viewed as separate, distinct, or exhaustive. A session focused on performance may also include a discussion on opportunities for professional growth. Combining these types of counseling will prevent an unnecessary waste of a leader's valuable time.

Ref: FM 22-100, App C, para C-38 thru C-45, Chap 5, para 5-99 and 5-101, and FM 7-22.7, para 5-29 thru 5-32

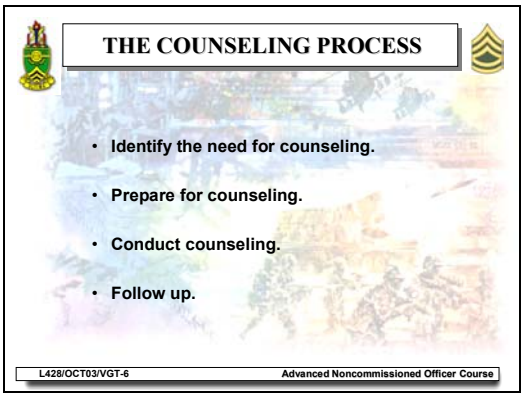
**Professional Development Model (PDM):** These are tools used by leaders during performance and professional growth counseling sessions to focus their subordinates' professional growth and career development plans of action. PDMs are in the DA Pam 600-25 and cover all Army MOS's. Appendix C of DA Pam 600-25

provides an in depth guide for applying the leadership dimensions outlined in FM 22-100, Appendix B. It details the "Do" principle as it applies to developmental counseling, both at the direct and organizational leadership levels. Operating actions specify the importance of leader assessments, and the improving actions spell out how NCO leaders develop their subordinates.

Ref: FM 22-100, App B and DA Pam 600-25, Ch 2 and App C

**REMOVE VGT-5**

**SHOW VGT-6, THE COUNSELING PROCESS**




Ref: FM 22-100, App C, para C-55

**The Counseling Process:** Effective leaders use the counseling process shown on this slide. You must use your experience to train your subordinate leaders on practical ways to apply this process when they counsel their soldiers. We will review each stage of the process during the next several minutes.

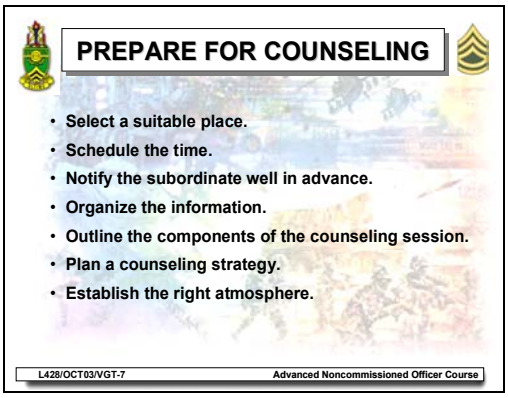
QUESTION: How do you identify a need to counsel subordinates?

ANSWER: A leader may conduct developmental counseling whenever the need arises for focused, two-way communication aimed at subordinate development. If the question exists, "should I counsel," the answer is yes. Developing subordinates consists of observing the subordinate's performance, comparing it to the standard, and then providing feedback to the subordinate in the form of counseling.

Ref: FM 22-100, App C, para C-56

**REMOVE VGT-6**

**SHOW VGT-7, PREPARE FOR COUNSELING**




Ref: FM 22-100, App C, para C-57

QUESTION: What should you ensure your subordinate leaders do when they schedule counseling with their soldiers?

ANSWER: They should schedule counseling in an environment that minimizes interruptions and is free from distracting sights and sounds. Leaders should counsel subordinates during the duty day. FM 22-100 states after-duty counseling may be rushed or perceived as unfavorable. As a general rule counseling should not last more than one hour. A leader should notify the subordinate of why, where, and when counseling is to take place and what the subordinate should do to prepare for the session.

Ref: FM 22-100, App C, para C-58 thru C-60

QUESTION: What should your subordinate leaders do to keep counseling sessions with their soldiers focused and structured?

ANSWER: The leader should review all pertinent information and should focus on specific and objective performance that the subordinate must maintain or improve on, as well as a plan of action with clear and obtainable goals.

An outline forces you to think about the counseling. With an outline, leaders will not forget to bring up key points, ask important questions, or relate the issue to a goal. An outline is a way for you to ensure you are well prepared for counseling.

Ref: FM 22-100, App C, para C-61 and C-62

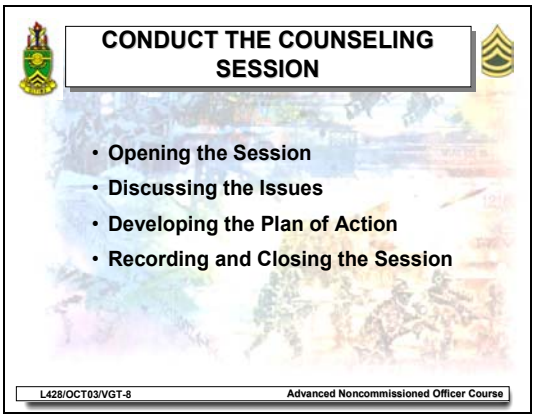
QUESTION: Why is the strategy your subordinate leaders employ an important facet of their counseling sessions?

ANSWER: A counseling strategy is how the leader plans on developing the counseling session to achieve the intended results. Base your strategy on the personality of the subordinate and the nature of the issue. Although you should prepare a counseling strategy, you must prepare to adjust the strategy as the counseling session develops. You use a strategy that meets your subordinate and situation additional information.

Ref: FM 22-100, App C, para C-46 thru C-52 and C-63

**REMOVE VGT-7**

**SHOW VGT-8, CONDUCT THE COUNSELING SESSION**




Ref: FM 22-100, App C, para C-66 thru C-74

QUESTION: What should you teach your subordinate leaders to do when they are opening counseling sessions with their soldiers?

ANSWER: A clearly stated purpose of the session can set a comfortable tone and lead to an open and productive session. It will also focus the communication. Let the subordinate know that you want to help them to develop a plan to achieve goals. When possible the leader and subordinate should start the counseling session by reviewing the status of the previous plan of action from their last counseling session.

Ref: FM 22-100, App C, para C-68

QUESTION: Why is developing a joint understanding of the situation such a critical step in the counseling process?

ANSWER: This joint understanding allows the leader to examine the situation from the subordinate's perspective. It also allows the subordinate to examine the situation from the leader's perspective. The leader does not have to agree with the subordinate's perspective, but it is important that the subordinate feels that the leader has made a genuine attempt to understand his/her perspective.

Ref: FM 22-100, App C, para C-69 thru C-70

QUESTION: What should you require your subordinate leaders to include in the plan of action that they help their soldiers develop?

ANSWER: A plan of action must include the specific actions required to achieve the goals and desired results identified in the summary of counseling. The plan is what the subordinate must do to achieve the agreed upon goal, whether it be to improve performance, solve a problem, or attain a career goal. A specific and achievable plan of action sets the stage for successful development.

Ref: FM 22-100, App C, para C-71

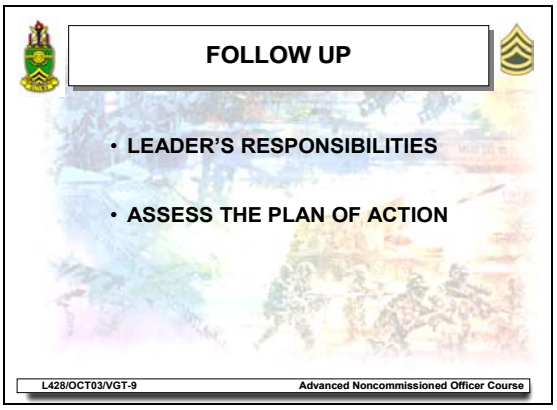
QUESTION: What should you stress to your subordinate leaders who prefer to keep their counseling informal and unrecorded?

ANSWER: A leader always benefits from documenting the main points of a counseling session. Documentation serves as a reference to the agreed upon plan of action, as well as the subordinates improvements and accomplishments. The complete record of counseling aids you in making recommendations for promotions and NCOER's.

Ref: FM 22-100, App C, para C-72

**REMOVE VGT–8**

**SHOW VGT-9, FOLLOW UP**




Ref: FM 22-100, App C, para C-75 and C-76

QUESTION: Your subordinate leaders object to their documenting leaders responsibilities. What should you tell them?

ANSWER: After counseling, a leader must support subordinates as they implement their plans of action. By documenting a leader's responsibilities, you are demonstrating to the subordinate your support and vested interest in his success. Support may include teaching, coaching, or providing time and resources.

Ref: FM 22-100, App C, para C-75

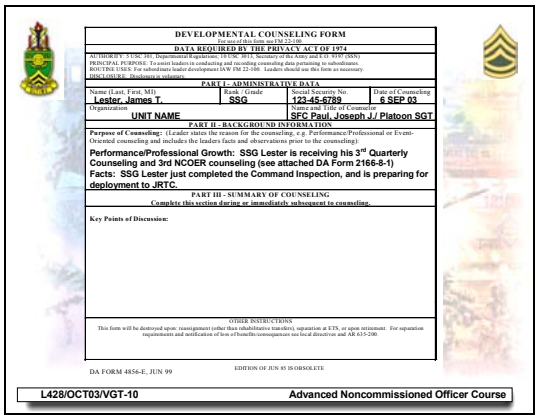
QUESTION: One of your subordinate leaders has only been conducting an assessment when there is corrective action included in the plan of action. Is he correct?

ANSWER: A counselor should assess ALL plans of action. Fm 22-100 states during the assessment, review the plan of action with the subordinate to determine if the desired results were achieved. The assessment of the plan of action provides useful information for future follow-up counseling sessions.

Ref: FM 22-100, App C, para C-76

**REMOVE VGT-9**

**SHOW VGT-10 DA FORM 4856-ADMINISTRATIVE DATA**



DEVELOPMENTAL COUNSELING FORM
For use of this form see FM 22-100

DATA REQUIRED BY THE PRIVACY ACT OF 1974
AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

PART I - ADMINISTRATIVE DATA

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| Lester, James T. | SSG | 123-45-6789 | 6 SEP 03 |
| Organization: UNIT NAME | | Name and Title of Counselor: SFC Paul, Joseph J./ Platoon SGT | |

PART II - BACKGROUND INFORMATION

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**Performance/Professional Growth: SSG Lester is receiving his 3rd Quarterly Counseling and 3rd NCOER counseling (see attached DA Form 2166-8-1)**
**Facts: SSG Lester just completed the Command Inspection, and is preparing for deployment to JRTC.**

PART III - SUMMARY OF COUNSELING
Complete this section during or immediately subsequent to counseling.

**Key Points of Discussion:**

OTHER INSTRUCTIONS
This form will be destroyed upon: reassignment (other than rehabilitative transfer), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856-E, JUN 99 EDITION OF JUN 85 IS OBSOLETE

L428/OCT03/VGT-10 Advanced Noncommissioned Officer Course

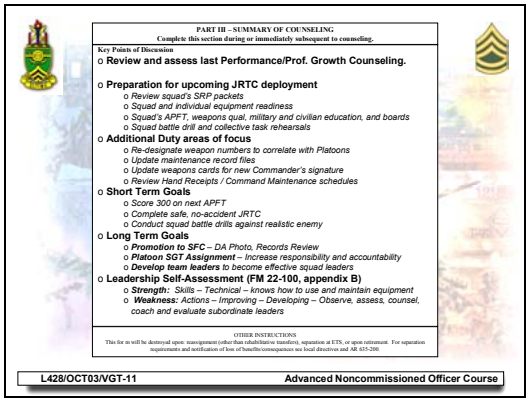
Ref: FM 22-100, App C, Fig. C-10 and C-11

The Developmental Counseling Form aids and guides the leader in conducting and recording a counseling session. This VGT shows the main parts of the front side of the form. During the **Purpose of Counseling** portion of the counseling session, the leader states the reason for the counseling (e.g., Performance/Professional Growth or Event-oriented counseling), and includes the facts and observations he/she made prior to the counseling. If applicable, the leader and subordinate start the counseling session by reviewing the status of the previous plan of action.

Ref: FM 22-100, App C, para C-68

**REMOVE VGT-10**

SHOW VGT-11, SUMMARY OF COUNSELING



PART III – SUMMARY OF COUNSELING
Complete this section during or immediately subsequent to counseling.

Key Points of Discussion

- **Review and assess last Performance/Prof. Growth Counseling.**
- **Preparation for upcoming JRTC deployment**
  - *Review squad's SRP packets*
  - *Squad and individual equipment readiness*
  - *Squad's APFT, weapons qual, military and civilian education, and boards*
  - *Squad battle drill and collective task rehearsals*
- **Additional Duty areas of focus**
  - *Re-designate weapon numbers to correlate with Platoons*
  - *Update maintenance record files*
  - *Update weapons cards for new Commander's signature*
  - *Review Hand Receipts / Command Maintenance schedules*
- **Short Term Goals**
  - *Score 300 on next APFT*
  - *Complete safe, no-accident JRTC*
  - *Conduct squad battle drills against realistic enemy*
- **Long Term Goals**
  - ***Promotion to SFC** – DA Photo, Records Review*
  - ***Platoon SGT Assignment** – Increase responsibility and accountability*
  - ***Develop team leaders** to become effective squad leaders*
- **Leadership Self-Assessment (FM 22-100, appendix B)**
  - ***Strength:** Skills – Technical – knows how to use and maintain equipment*
  - ***Weakness:** Actions – Improving – Developing – Observe, assess, counsel, coach and evaluate subordinate leaders*

OTHER INSTRUCTIONS
This fo m will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

L428/OCT03/VGT-11 Advanced Noncommissioned Officer Course

Ref: FM 22-100, App C, para C-62, and Fig. C-10 and C-11

The key point of discussion refers to the issues discussed as part of the counseling process. The leader writes the outline in this block during the "Prepare for Counseling" stage, when he outlines the components of the counseling session.

Ref: FM 22-100, App C, para C-62 and C-68 thru C-70

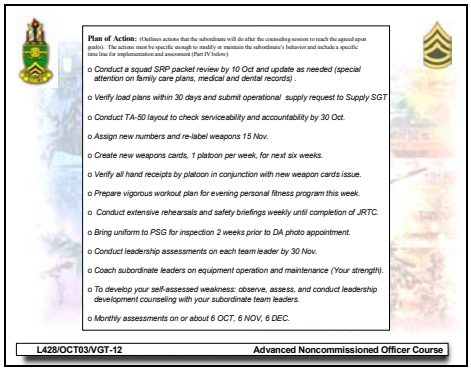
QUESTION: Should the counselor prepare the counseling form prior to beginning the counseling session?

ANSWER: The counseling is subordinate centered, and you cannot know ahead of time what the subordinate may bring up during the session. Goals, objectives, and key points of discussion covered during the subordinate centered communication should be hand written in Part III. A written outline helps to keep focus and structure during the session.

Ref: FM 22-100, App C, para C-62, and Fig. C-10

**REMOVE VGT-11**

**SHOW VGT-12, PLAN OF ACTION**



**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goals). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below)

- o *Conduct a squad SRP packet review by 10 Oct and update as needed (special attention on family care plans, medical and dental records)* .
- o *Verify load plans within 30 days and submit operational supply request to Supply SGT*
- o *Conduct TA-50 layout to check serviceability and accountability by 30 Oct.*
- o *Assign new numbers and re-label weapons 15 Nov.*
- o *Create new weapons cards, 1 platoon per week, for next six weeks.*
- o *Verify all hand receipts by platoon in conjunction with new weapon cards issue.*
- o *Prepare vigorous workout plan for evening personal fitness program this week.*
- o *Conduct extensive rehearsals and safety briefings weekly until completion of JRTC.*
- o *Bring uniform to PSG for inspection 2 weeks prior to DA photo appointment.*
- o *Conduct leadership assessments on each team leader by 30 Nov.*
- o *Coach subordinate leaders on equipment operation and maintenance (Your strength).*
- o *To develop your self-assessed weakness: observe, assess, and conduct leadership development counseling with your subordinate team leaders.*
- o *Monthly assessments on or about 6 OCT, 6 NOV, 6 DEC.*

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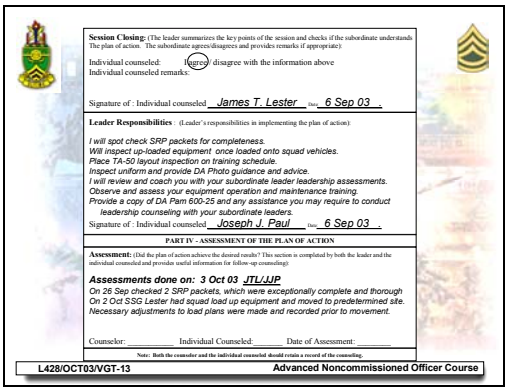
Ref: FM 22-100, App C, par C-71 and Fig C-11

Develop the Plan of Action during the session, with the most input from the subordinate. A plan of action organized and focused on goals is most effective. The best method is to follow the orders discussed in the key points of discussion. The last line in the plan of action should list the follow-up assessment date(s).

Ref: FM 22-100, App C, para C-71 and Fig C-11

**REMOVE VGT-12**

**SHOW VGT-13, CLOSE THE SESSION AND ASSESSMENTS**



**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands The plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree/ disagree with the information above
Individual counseled remarks:

Signature of : Individual counseled *James T. Lester* Date *6 Sep 03*

**Leader Responsibilities** : (Leader's responsibilities in implementing the plan of action):

*I will spot check SRP packets for completeness.*
*Will inspect up-loaded equipment once loaded onto squad vehicles.*
*Place TA-50 layout inspection on training schedule.*
*Inspect uniform and provide DA Photo guidance and advice.*
*I will review and coach you with your subordinate leader leadership assessments.*
*Observe and assess your equipment operation and maintenance training.*
*Provide a copy of DA Pam 600-25 and any assistance you may require to conduct leadership counseling with your subordinate leaders.*

Signature of : Individual counseled *Joseph J. Paul* Date *6 Sep 03*

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessments done on: 3 Oct 03 JTL/JJP***
*On 26 Sep checked 2 SRP packets, which were exceptionally complete and thorough*
*On 2 Oct SSG Lester had squad load up equipment and moved to predetermined site.*
*Necessary adjustments to load plans were made and recorded prior to movement.*

Counselor: _____ Individual Counseled: _____ Date of Assessment: _____

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

L428/OCT03/VGT-13 Advanced Noncommissioned Officer Course

Ref: FM 22-100, App C, para C-72 thru C-74 and Fig C-11

Have your subordinate leaders require their soldiers to verbally summarize the counseling session while closing it. This ensures the subordinates fully understood the discussion.

The leader records what actions he will take in support of the plan, then signs and dates the form. Provide the subordinate a copy so he can maintain proper focus while executing of the plan of action.

Ref: FM 22-100, App C, para C-72 thru C-75, and Fig C-11

Leaders continuously observe their subordinates during daily operations. Have your subordinate leaders get in the habit of writing down anything they notice their soldiers do that is note-worthy. Thirty days after the counseling session, they should conduct a face-to-face assessment by reviewing the plan of action, discussing what has happened and placing comments in the assessment block of the DA Form 4856. They review the remaining actions required in the plan and make adjustments if needed. They record the date and each initial in the assessment block of the form as shown on the VGT.

Ref: FM 22-100, App C, para C-76 and Fig. C-11 and FM 7-22.7, para 5-30

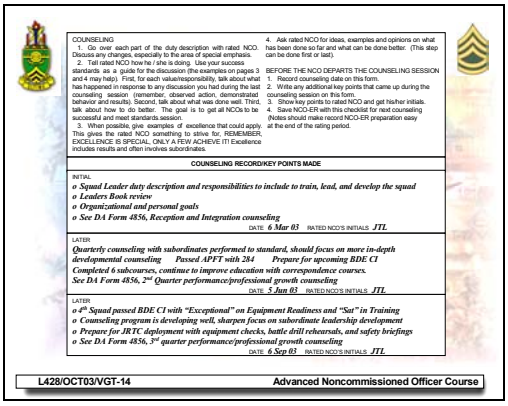
QUESTION: In addition to measuring the success of the plan of action, for what other purpose can you use the comments in the assessment block?

ANSWER: Comments regarding quantitative observations are an excellent source of bullet comments for an NCOER, recommendation for awards, or recommendation to attend a military school.

Ref: FM 22-100, para 5-92 and App C, para C-39, and C-72 thru C-76

**REMOVE VGT-13**

**SHOW VGT-14, COUNSELING RECORD/KEY POINTS MADE**



COUNSELING

1. Go over each part of the duty description with rated NCO. Discuss any changes, especially to the area of special emphasis.
2. Tell rated NCO how he / she is doing. Use your success standards as a guide for the discussion (the examples on pages 3 and 4 may help). First, for each value/responsibility, talk about what has happened in response to any discussion you had during the last counseling session (remember, observed action, demonstrated behavior and results). Second, talk about what was done well. Third, talk about how to do better. The goal is to get all NCOs to be successful and meet standards session.
3. When possible, give examples of excellence that could apply. This gives the rated NCO something to strive for. REMEMBER, EXCELLENCE IS SPECIAL, ONLY A FEW ACHIEVE IT! Excellence includes results and often involves subordinates.
4. Ask rated NCO for ideas, examples and opinions on what has been done so far and what can be done better. (This step can be done first or last).

BEFORE THE NCO DEPARTS THE COUNSELING SESSION

1. Record counseling date on this form.
2. Write any additional key points that came up during the counseling session on this form.
3. Show key points to rated NCO and get his/her initials.
4. Save NCO-ER with this checklist for next counseling (Notes should make record NCO-ER preparation easy at the end of the rating period.

COUNSELING RECORD/KEY POINTS MADE

INITIAL

*o Squad Leader duty description and responsibilities to include to train, lead, and develop the squad*
*o Leaders Book review*
*o Organizational and personal goals*
*o See DA Form 4856, Reception and Integration counseling*

DATE: *6 Mar 03* RATED NCO'S INITIALS: *JTL*

LATER

*Quarterly counseling with subordinates performed to standard, should focus on more in-depth developmental counseling Passed APFT with 284 Prepare for upcoming BDE CI*
*Completed 6 subcourses, continue to improve education with correspondence courses.*
*See DA Form 4856, 2nd Quarter performance/professional growth counseling*

DATE: *5 Jun 03* RATED NCO'S INITIALS: *JTL*

LATER

*o 4th Squad passed BDE CI with "Exceptional" on Equipment Readiness and "Sat" in Training*
*o Counseling program is developing well, sharpen focus on subordinate leadership development*
*o Prepare for JRTC deployment with equipment checks, battle drill rehearsals, and safety briefings*
*o See DA Form 4856, 3rd quarter performance/professional growth counseling*

DATE: *6 Sep 03* RATED NCO'S INITIALS: *JTL*

L428/OCT03/VGT-14 Advanced Noncommissioned Officer Course

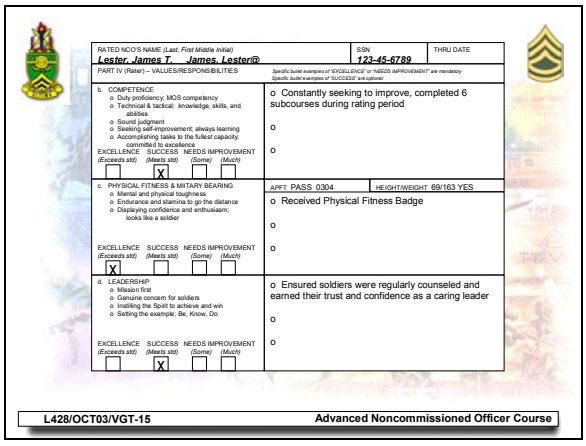
Ref: FM 22-100, App C, para C-39 and FM 7-22.7, para 5-22 thru 5-28

FM 22-100 states performance counseling is required under AR 623-205, the NCO evaluation reporting system. As you learned in lesson P405 (NCO-ER), required mandatory face-to-face performance counseling between the rater and the rated NCO according to NCOERS. Everyone in this classroom knows that the space for annotating a summary of counseling on DA Form 2166-8-1 is insufficient for any quality counseling session. By using DA Form 4856 to record quarterly counseling sessions, in conjunction with DA Form 2166-8-1, you can retain a much more accurate record of the counseling. This allows you to focus on your subordinate NCO's leadership development, as well as provide a foundation for quantitative NCOER bullets.

Ref: FM 22-100, App C, para C-39 and FM 7-22.7, para 5-22 thru 5-28

**REMOVE VGT-14**

**SHOW VGT-15, COUNSELING RECORD/KEY POINTS MADE (cont)**



RATED NCO'S NAME (Last, First Middle Initial): Lester, James T. James, Lester@ | SSN: 123-45-6789 | THRU DATE

PART IV (Rater) – VALUES/RESPONSIBILITIES

Specific bullet examples of "EXCELLENCE" or "NEEDS IMPROVEMENT" are mandatory
Specific bullet examples of "SUCCESS" are optional.

| | | |
|---|---|---|
| b. COMPETENCE<br>o Duty proficiency; MOS competency<br>o Technical & tactical; knowledge, skills, and abilities<br>o Sound judgment<br>o Seeking self-improvement; always learning<br>o Accomplishing tasks to the fullest capacity; committed to excellence<br>EXCELLENCE (Exceeds std) [ ] SUCCESS (Meets std) [X] NEEDS IMPROVEMENT (Some) [ ] (Much) [ ] | | o Constantly seeking to improve, completed 6 subcourses during rating period<br>o<br>o |
| c. PHYSICAL FITNESS & MILITARY BEARING<br>o Mental and physical toughness<br>o Endurance and stamina to go the distance<br>o Displaying confidence and enthusiasm; looks like a soldier<br>EXCELLENCE (Exceeds std) [X] SUCCESS (Meets std) [ ] NEEDS IMPROVEMENT (Some) [ ] (Much) [ ] | APFT PASS 0304 | HEIGHT/WEIGHT 69/163 YES<br>o Received Physical Fitness Badge<br>o<br>o |
| d. LEADERSHIP<br>o Mission first<br>o Genuine concern for soldiers<br>o Instilling the Spirit to achieve and win<br>o Setting the example; Be, Know, Do<br>EXCELLENCE (Exceeds std) [ ] SUCCESS (Meets std) [X] NEEDS IMPROVEMENT (Some) [ ] (Much) [ ] | | o Ensured soldiers were regularly counseled and earned their trust and confidence as a caring leader<br>o<br>o |

L428/OCT03/VGT-15 Advanced Noncommissioned Officer Course

Ref: FM 22-100, para 5-92 and FM 7-22.7, para 5-22 thru 5-28

Often, NCOER time means scrambling around to come up with accomplishments the rated NCO has done over the past year. No evaluation report – positive or negative – should be a surprise. Experienced leaders will keep a working copy of the NCOER shell, along with recorded accomplishments with the counseling packet, and transfer bullets from the developmental counseling form to the NCOER. When using this technique there is a much smaller chance that accomplishments achieved throughout the year are forgotten. A consistent developmental counseling

program ensures all of your soldiers and NCOs know where they stand and what they should be doing to improve their performance and develop as leaders.

Ref: FM 22-100, para 5-92 and FM 7-22.7, para 5-22 thru 5-28

**REMOVE VGT-15**

For the previous hour we have reviewed the basics of an effective developmental counseling program. We have conducted an overview of developmental counseling doctrine, categories of counseling, the counseling process, and the use of the DA Form 4656 to record a counseling session. In ELO 2, you will have an opportunity to put this knowledge to use during several practical exercise situations.

**Break:** TIME: 00:50 to 01:00

**B. ENABLING LEARNING OBJECTIVE**

| | |
|---|---|
| **ACTION:** | Assess leadership actions at developmental counseling and mentorship of the subordinate leaders. |
| **CONDITIONS:** | In a classroom environment, given FM 22-100 and FM 7-22.7, the role of a platoon sergeant or staff NCO in a unit or organization. |
| **STANDARDS:** | Assessed leadership actions at developmental counseling, and mentorship of the subordinate leaders. |

1. Learning Step / Activity 1. Counseling demonstration

Method of Instruction: Conference / Discussion
Technique of Delivery: Small Group Instruction (SGI)
Instructor to Student Ratio: 1:16
Time of Instruction: 20 mins
Media: VGT-16 thru VGT-19

This block of instruction will present mentoring; we will fit observing, assessing, coaching teaching, leadership assessments and developmental counseling into mentoring. We will also review the Observer's Worksheet, to correctly identify counseling session components, counseling skills, and strengths of a counseling session in practical exercise situations using video clips.

**SHOW VGT-16, DEVELOPMENTAL COUNSELING AS A TECHNIQUE OF MENTORING**

Ref: FM 22-100, para 5-83 and FM 7-22.7, para 5-33 thru 5-38

Mentoring is totally inclusive, real-life leader development for every subordinate. No role is more important for NCOs than leader development. Leaders do not know which of their subordinates today will be the greatest contributors and leaders of the future. Leaders must therefore attempt to provide all their subordinates with the knowledge and skills necessary to become the best they can be.

Mentoring links two important facets of the "DO" leadership characteristic. When you mentor, you take the observing, assessing, and evaluating you do when you perform the operating leader action and apply these actions to developing individual subordinates (improving leader action). As a senior NCO, you mentor people every day in positive or negative ways, depending on how you live Army values and perform leader actions. NCO leaders must use institutional training, operational assignments, self-development, and mentoring, which includes developmental counseling, to develop the newest of the Army leaders, both commissioned and noncommissioned.

Ref: FM 22-100, para 5-83 thru 5-85, and DA Pam 600-25, App C, para C-6a (3)

QUESTION: Is mentorship a voluntary relationship, or is it a leader's duty to mentor all of his subordinates?

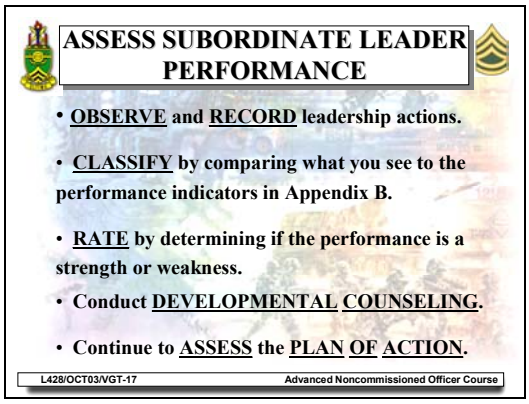
ANSWER: Mentoring is an inclusive process (not an exclusive one) for everyone under a leader's charge. Although the most effective mentoring occurs in a voluntary, developmental relationship, leaders don't know which of their subordinates will be the most significant leaders of the future. Mentorship must be totally inclusive, real life leader development for every subordinate.

Ref: FM 22-100, para 5-83 thru 5-85, and FM 7-22.7, para 5-33

NOTE: Encourage group discussion on mentorship, to include experiences from the students' units. Try to guide the discussion to the importance of a leader mentoring ALL of his subordinates, and how mentorship can grow into a lifelong relationship that occurs when you really care about the development of your soldiers.

**REMOVE VGT-16**

**SHOW VGT-17, ASSESS SUBORDINATE LEADER PERFORMANCE**




Ref: FM 22-100, para 5-67 and para 5-68

Mentoring begins with determining where your subordinates stand in their leadership development. Determination accomplished by going through the structured process that leads to developmental counseling and evaluating progress. The first step is to observe and record the subordinate's leadership actions.

When you observe your subordinate leaders, focus on every relevant action (verbal and nonverbal), appearance, and responses to the subordinate's actions by peers or other subordinates. One gauge of the response to the subordinate leader's actions is the result of his soldiers' actions. Enthusiastic mission accomplishment indicates effective leadership actions. Soldiers that encounter continuous problems

and display an inability to overcome hurdles may results from ineffective leadership actions. The key to observation is to realize that it is not a passive activity.

Leaders must always be on the lookout for subordinates' actions relevant to the leadership dimensions. Having detailed and clear notes about observations is the leader's key to being able to address concerns with subordinates. Ensure the record of observations is complete and record exactly.

The key to making effective observations is to document what you see, as accurately and objectively as possible, and to apply those observations as the basis for leader-subordinate communications developmental counseling. If you don't record the behavior correctly you can't classify or rate it later.

Ref: FM 22-100, Chapter 5, para 5-97 and 5-98

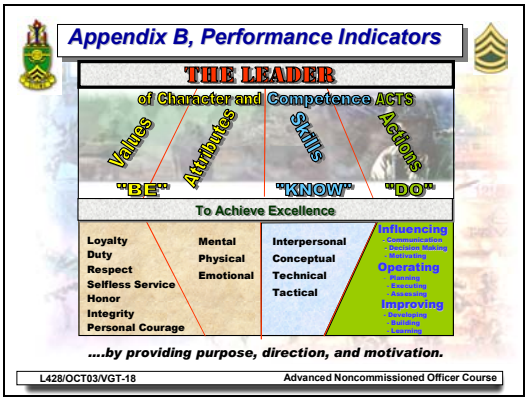
QUESTION: When assessing subordinate leaders, how do we determine what the standard is for rating observations of subordinate values, attributes, skills, and actions?

ANSWER: Our experience, the advice of others, the performance indicators provided in Appendix B of FM 22-100, and the description of those performance indicators outlined in DA Pam 600-25 Appendix C.

Ref: FM 22-100, App B and DA Pam 600-25, App C

**REMOVE VGT-17**

**SHOW VGT-18, APPENDIX B, PERFORMANCE INDICATORS**




Ref: FM 22-100, App B

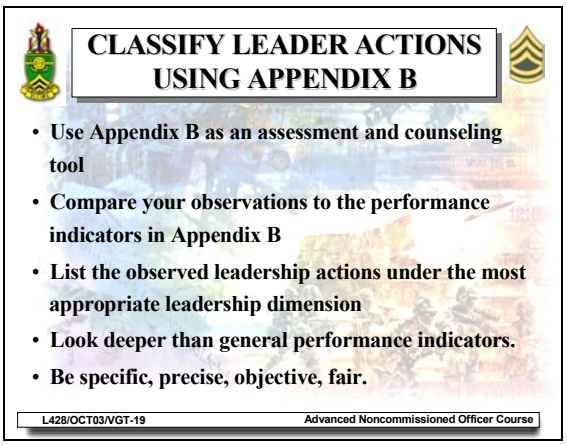
Let's take a look at appendix B. It provides a list of Performance Indicators that can help to determine areas of weakness in yourself or your subordinates. It can also be used as tool to develop a plan of action, since the plan of action must be tied to appropriate standards and expectations.

DA Pam 600-25, Appendix C, addresses NCO leader development. Leader development is based on the principles, “Be, Know, Do.” The “Be” categories of Values and Attributes that define a person’s character are explained clearly. The categories of the “Know” principle, which addresses an NCO’s competence, are expanded as they apply to each of the 3 levels of leadership. The “Do” principle of the leadership framework is also expanded as they pertain to the three levels of leadership. At the Direct Leadership level of the “Do” principle, the Operating Actions and Improving Actions specifically pertain to Leadership Development, mentoring, and developmental counseling.

Ref: FM 22-100, App B and DA Pam 600-25, App C

**REMOVE VGT-18**

**SHOW VGT-19, CLASSIFY LEADER ACTIONS USING APPENDIX B**




Ref: FM 22-100, App B and DA Pam 600-25, App C

Classify your subordinates' leadership actions by determining what dimension applies ***before*** deciding how well a subordinate is doing it. An important feature in the assessment process is accurately classifying categorizing leader's actions based on the core leadership dimensions. Observations of leader performance development are only useful to the leader and the subordinate, as long as they can classified accurately and in terms of our doctrinally based leadership dimensions. If a leader action is difficult to precisely classify by leader dimension, list it under the ***most*** appropriate dimension. Classification of performance according to the leader dimensions isn't always easy, but it must always precede rating. Classifying is the key to rating. Similarly, classifying is key to developing an appropriate developmental plan of action addressing the subordinate's needs. Determine what dimensions need improvement before determining how to fix them. You should classify performance as soon after recording an observation as possible.

**REMOVE VGT-19**

Ref: FM 22-100 Chapter 2 and App B, and DA Pam 600-25, App C

2. Learning Step / Activity 2. Classification and Rating

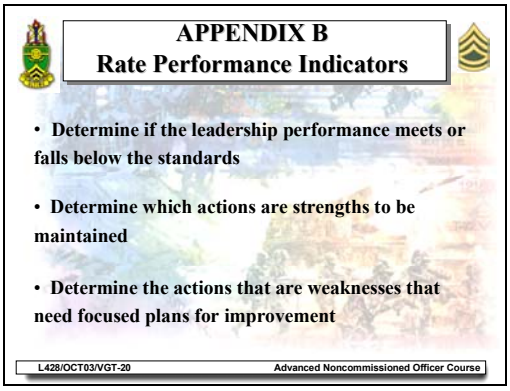
| | |
|---|---|
| Method of Instruction: | Practical Exercise (Performance) |
| Technique of Delivery: | Small Group Instruction (SGI) |
| Instructor to Student Ratio: | 1:16 |
| Time of Instruction: | 10 mins |
| Media: | PE-1 and VGT-20 |

**NOTE:** Solicit the class for any questions. Then, have students take out their Classification and Rating Exercise (PE-1) and direct them to complete the classification portion of the PE. Discussion among students is valuable so encourage it; but push them to work quickly (they won't have much time in the field to debate these issues).

After 10 minutes, call on various students to share their solution to a given exercise in the Classification portion of the PE, and solicit a discussion among the other students for each of the examples.

We will complete the rating portion after the next segment.

**SHOW VGT-20, APPENDIX B-RATE PERFORMANCE INDICATORS**




Ref: FM 22-100, App B and DA Pam 600-25, App C

After you classify the leadership action according to the indicators in Appendix B, you are ready to rate the performance as a leadership strength or weakness. This seems simplistic, but it is a necessary step to assessing leadership performance. We then must put together a plan of action designed to sustain the strengths and correct the weaknesses.

Ref: FM 22-100, Chapter 5, para. 5-67 and 5-68

**NOTE:** Have students take out their Classification and Rating Exercise (PE-1) again and direct them to complete the rating portion of the PE. Discussion among students is valuable so encourage it; but push them to work quickly again.

After 2 minutes, call on various students to share their solution to a given exercise in the rating portion of the PE, and solicit a discussion among the other students for each of the examples.

**REMOVE VGT-20**

3. Learning Step / Activity 3. Conduct Developmental Counseling's

Method of Instruction: Conference / Discussion
Technique of Delivery: Small Group Instruction (SGI)
Instructor to Student Ratio: 1:16
Time of Instruction: 10 mins
Media: VGT-21 thru VGT-25

**SHOW VGT-21, CONDUCT DEVELOPMENTAL COUNSELING**

Ref: FM 22-100, Chapter 5, para 5-68 and 5-78App C, para C-27

You have a responsibility to train your subordinates to be ready before they assume leadership positions. It is your duty to invest the time and energy it takes to help them become competent and confident in their leadership abilities.

After you have observed, recorded, classified, and rated subordinate leader performance, you have to do something about your assessment. You have to tell your subordinate what you saw and then allow him the opportunity to assess himself. This is where you conduct developmental counseling. When you are conducting developmental counseling, you must set specific, realistic goals. This will help your subordinates grow and shape their learning experiences in the self-development aspect of the Leader Development Model.

During the developmental counseling session, you must help the subordinate develop a plan of action to improve performance in areas of leadership weakness and sustain leadership strengths. The plan of action must be achievable, specific and lay out in concrete and direct terms. You must design the plan of action together and allow the subordinate to take the lead as much as possible. You both have to agree

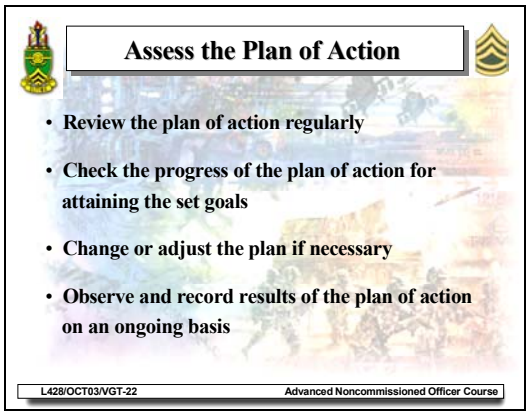
on the actions necessary to improve leader performance. If the subordinate doesn't buy into the plan of action, it won't work.

If the subordinate doesn't know how to perform the leadership task, then you have to teach him how. You also must coach the subordinate through accomplishing the task for the first time. Without this type of active follow-up action on the leader's part, the plan for improvement is bound to fail.

Ref: FM 22-100, Chapter 5, para. 5-67, and 5-68, and 5-78

**REMOVE VGT-21**

**SHOW VGT-22, ASSESS THE PLAN OF ACTION**



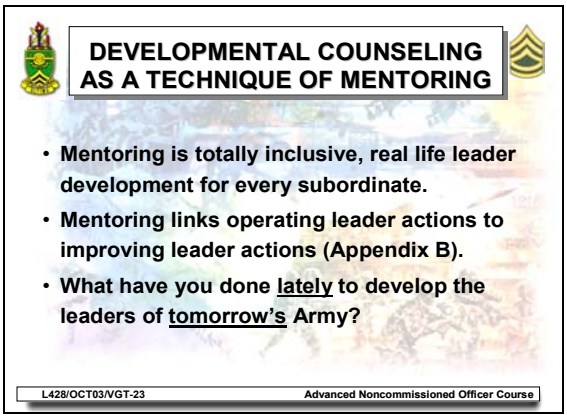

Ref: FM 22-100, Chapter 5, para. 5-68 and 5-78

You have to review the plan of action frequently, check progress, and adjust the plan as necessary. You can't execute your subordinate's plan of action for him, but you can give advice and encouragement; when necessary and the mission permits you can give him time. Just like the observing and recording action that you did to start the assessment process, you must continue to observe and record the results of the plan of action in order to have tangible results to talk about in follow-up counseling sessions.

Ref: FM 22-100, Chapter 5, para. 5-68 and 5-78

**REMOVE VGT-22**

**SHOW VGT-23, DEVELOPMENTAL COUNSELING AS A TECHNIQUE OF MENTORING**




Ref: FM 22-100, Ch 5, para 5-83 thru 5-85

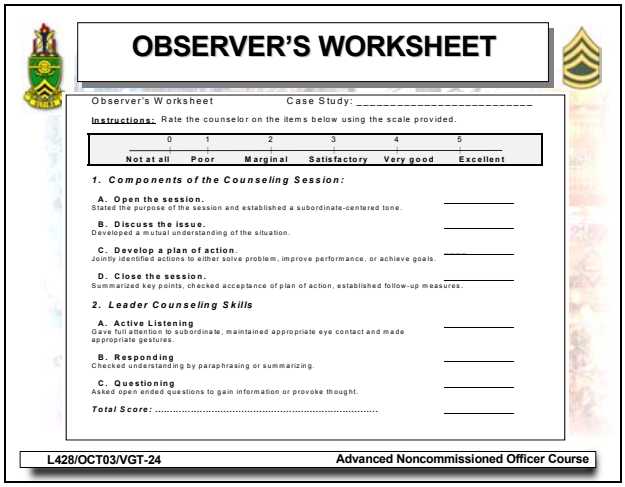
As you assume positions of greater responsibility, as the number of people for whom you are responsible increases, you need to do even more to develop your subordinates. Mentoring isn't something new for the Army. Often past successes and failures traced to how involved those in charge took in developing future leaders.

Senior NCOs have a great deal of experience that is valuable to officers. A mentorship relationship that is unique in the Army is the relationship between a platoon sergeant and his young platoon leader. An officer that has an NCO as a mentor is taking advantage of that wealth of experience and also of the unique perspective that NCOs develop in leadership, training, and professionalism.

Ref: FM 22-100, Chapter 5, para. 5-99 thru 5-101 and FM 7-22.7 Chapter 5, para 5-39

**REMOVE VGT-23**

**SHOW VGT-24, OBSERVER'S WORKSHEET**



OBSERVER'S WORKSHEET

Observer's Worksheet Case Study: _____

Instructions: Rate the counselor on the items below using the scale provided.

| 0 | 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|---|
| Not at all | Poor | Marginal | Satisfactory | Very good | Excellent |

*1. Components of the Counseling Session:*

A. Open the session. _____
Stated the purpose of the session and established a subordinate-centered tone.

B. Discuss the issue. _____
Developed a mutual understanding of the situation.

C. Develop a plan of action. _____
Jointly identified actions to either solve problem, improve performance, or achieve goals.

D. Close the session. _____
Summarized key points, checked acceptance of plan of action, established follow-up measures.

*2. Leader Counseling Skills*

A. Active Listening _____
Gave full attention to subordinate, maintained appropriate eye contact and made appropriate gestures.

B. Responding _____
Checked understanding by paraphrasing or summarizing.

C. Questioning _____
Asked open ended questions to gain information or provoke thought.

*Total Score:* ..... _____

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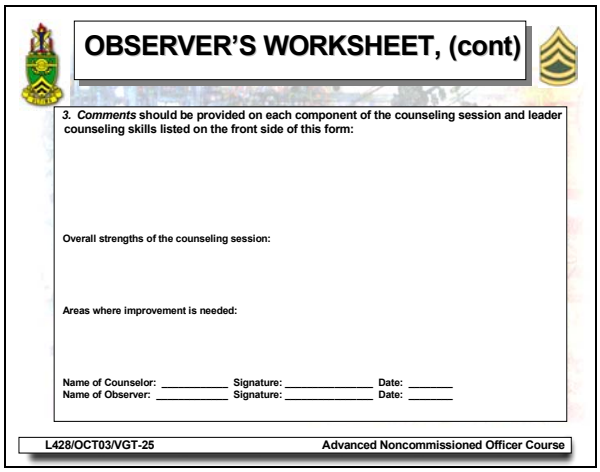
Ref: SH-4-2 and SH-4-3

You will use the Observer's Worksheet to observe and record the conduct of counseling sessions utilizing practical exercise situations. This observer's worksheet is a classroom tool to help you identify and discuss these areas during the lesson.

Ref: SH-4-2 and SH-4-3

**REMOVE VGT-24**

**SHOW VGT-25, OBSERVER'S WORKSHEET (cont)**



OBSERVER'S WORKSHEET, (cont)

**3. *Comments* should be provided on each component of the counseling session and leader counseling skills listed on the front side of this form:**

**Overall strengths of the counseling session:**

**Areas where improvement is needed:**

**Name of Counselor: _____ Signature: _____ Date: _____**
**Name of Observer: _____ Signature: _____ Date: _____**

L428/OCT03/VGT-25 Advanced Noncommissioned Officer Course

Ref: SH-4-2 and SH-4-3

You will now use the Observer's Worksheet to observe and record the conduct of a counseling session on the following video. Later in the lesson you will again use the observer's worksheets for the role-playing situations in Practical Exercise 2.

Ref: SH-4-2 and SH-4-3

**REMOVE VGT-25**

4. Learning Step / Activity 4. Developmental Counseling

Method of Instruction: Conference / Discussion
Technique of Delivery: Small Group Instruction (SGI)
Instructor to Student Ratio: 1:16
Time of Instruction: 10 mins
Media: TVT 710942, "Developmental Counseling" (6 minutes)

**NOTE:** Show segment #6 of the Developmental Counseling video, which is 6 minutes long.

Distribute SH-3, Observer's Worksheet to the students, and instruct them to record their observations on the worksheet.

At the end of the video, lead a discussion about their observations utilizing SH-4, Solution Sheet, as your guideline.

**Break:** TIME: 01:50 to 02:00

## C. ENABLING LEARNING OBJECTIVE

| | |
|---|---|
| **ACTION:** | Demonstrate the ability to develop subordinate leaders. |
| **CONDITIONS:** | In a classroom environment, given FM 22-100 and FM 7-22.7, and the role of a platoon sergeant or staff NCO in a unit or organization. |
| **STANDARDS:** | Demonstrated the ability to develop subordinate leaders by—<br>• correctly demonstrating use of the components of the counseling session focused on leader development.<br>• using proper leader counseling skills.<br>• observing and identifying parts of the counseling session that need improvement.<br>• observing and identifying strengths of the counseling session. |

1. Learning Step / Activity 1. Role-play Exercise

Method of Instruction: Practical Exercise (Performance)
Technique of Delivery: Small Group Instruction (SGI)
Instructor to Student Ratio: 1:16
Time of Instruction: 2 hrs 40 mins
Media: PE-2 and SPE-2

**NOTE:** Select five pairs of students to role play the situations for this practical exercise then issue PE-2 with the following guidelines:

Instructor will issue the five PE situations from SH-9 to the selected role-playing pairs of students. Instructor will issue a copy of the leader role and a copy of the subordinate role for a given situation to the role players. The counselor and the subordinate should receive ONLY the handout that applies to their individual role in

the situation. The instructor will issue five copies of the Observers Worksheet from SH-10 to each of the other students in the class, one for each scenario. The selected role playing pairs will have time to review the scenario and then begin to role play the situations in front of the rest of the class. The role players will act out each scenario for the amount of time allotted. Meanwhile, the rest of the class will act as observers and record their observations on the Observer's Worksheet based on knowledge gained from this lesson.

**NOTE**: Allow two 10 minute breaks at a convenient time.

During the last 3 hours, we have taken the opportunity to practice the developmental counseling, leadership development and mentoring skills that you either learned or reviewed during this lesson. Now that you have seen leader development, mentorship, and counseling programs in action, how will y*ou* be able to apply this to your new positions as senior NCOs?

**Do you think you will be able to do this once you return to your unit?**

**SECTION IV. SUMMARY**

Method of Instruction: Conference / Discussion
Technique of Delivery: Small Group Instruction (SGI)
Instructor to Student Ratio is: 1:16
Time of Instruction: 10 mins
Media: VGT-26

**Check on Learning**

QUESTION: Describe the elements of an effective unit counseling program.

ANSWER: Education and training, experience, continued support from both the Army and leaders, and enforcement.

Ref: FM 7-22.7, para 5-8

QUESTION: Why should leaders conduct leadership counseling with subordinate leaders?

ANSWER: Your subordinates are the leaders of tomorrows Army. It is your duty to invest the time and energy it takes to help them reach their fullest potential.

Ref: FM 22-100, para 5-73

QUESTION: How does FM 22-100 describe mentoring?

ANSWER: Mentoring in the Army is the proactive development of each subordinate through observing, assessing, coaching, teaching, developmental counseling, and evaluating that results in people being treated with fairness and equal opportunity.

Ref: FM 22-100, shaded block above para 5-83

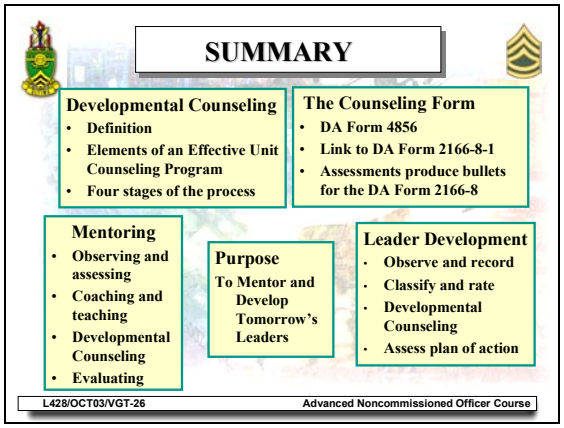
QUESTION: What should you use to classify subordinate leadership actions that you observe?

ANSWER: FM 22-100 Appendix B provides a comprehensive list of performance indicators, organized around the leadership dimensions that you should use to classify leadership actions.

Ref: FM 22-100, Appendix B

**Review / Summarize Lesson**

**SHOW VGT-26, SUMMARY**




Ref: FM 22-100, and FM 7-22.7

ALL noncommissioned officers are leaders. Directed toward a major portion of NCO professional development is leader development. As senior NCOs, you must establish leader development programs for your organization. The future of the Army depends on the trained and effective leaders whom you leave behind. It is your obligation, your DUTY to mentor everyone under your charge.

**What have you done lately to develop the leaders of tomorrow's Army?**

**REMOVE VGT-26**

## SECTION V. STUDENT EVALUATION

**Testing Requirements**

**NOTE:** Describe how the student must demonstrate accomplishment of the TLO. Refer student to the Student Evaluation Plan.

At the end of this course of instruction, you will take a 50-question written objective examination. This examination will include questions on the TLO and ELOs from this lesson. You must correctly answer 35 questions or more to receive a passing score (70 percent). This is a graduation requirement.

**Feedback Requirements**

**NOTE:** Feedback is essential to effective learning. Schedule and provide feedback on the evaluation and any information to help answer students' questions about the test. Provide remedial training as needed.

None

Enabling Learning Objective A

Learning Step 1

VGT-1, Developmental Counseling

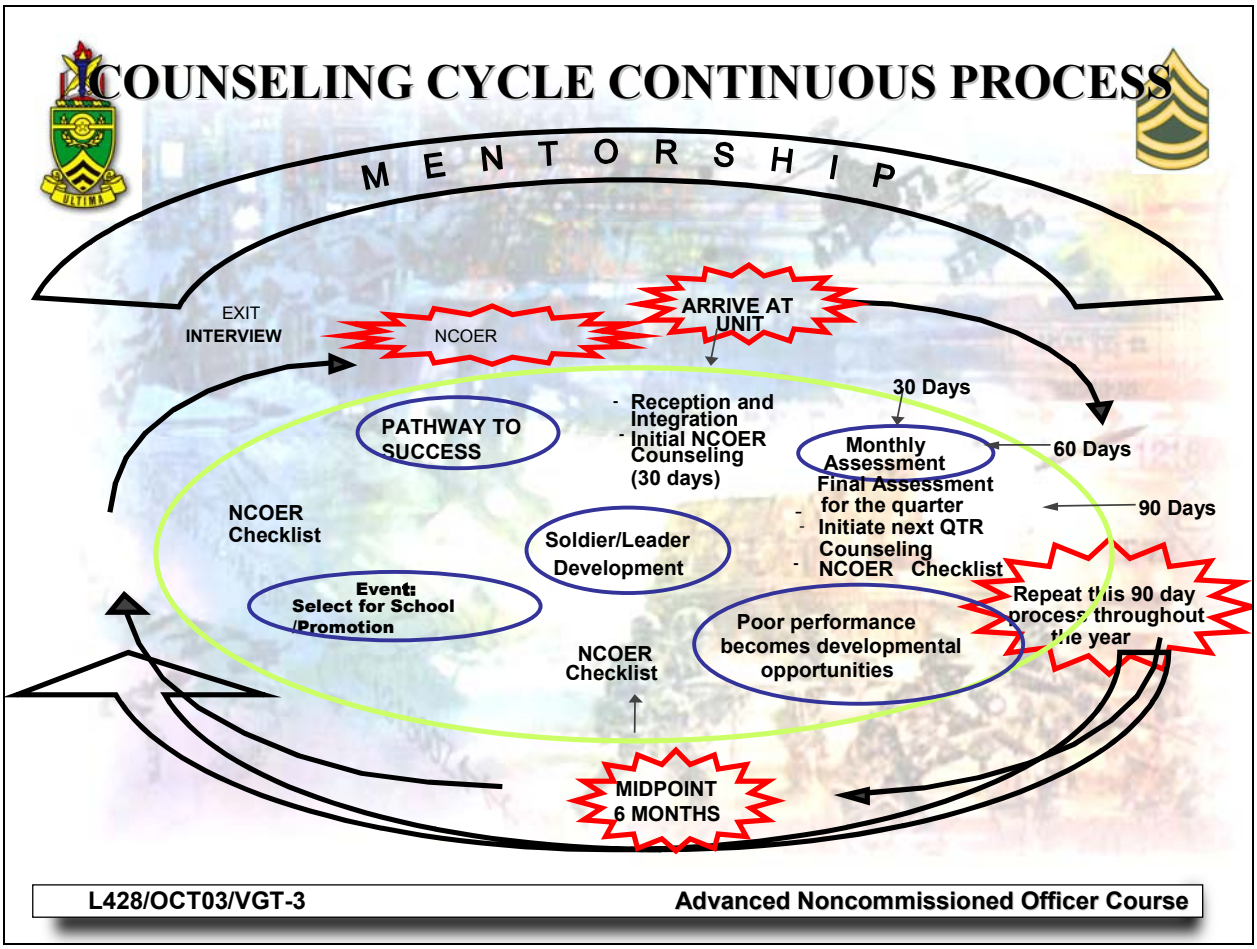
# DEVELOPMENTAL COUNSELING

**Subordinate-centered communication that produces a plan outlining actions necessary for subordinates to achieve individual and organizational goals.**

# ELEMENTS OF AN EFFECTIVE UNIT COUNSELING PROGRAM

- Education and Training
- Experience
- Continued support from both the Army and leaders
- Enforcement

VGT-3, Counseling Cycle Continuous Process



# CATEGORIES OF DEVELOPMENTAL COUNSELING

## Event-Oriented

- Specific Instances of Superior or Substandard Performance Counseling
- Reception and Integration Counseling
- Crisis Counseling
- Referral Counseling
- Promotion Counseling
- Separation Counseling

# CATEGORIES OF DEVELOPMENTAL COUNSELING (cont)

**Performance and Professional Growth**

- **Performance: (Quarterly)**
  - **Review Past Performance**
  - **Focus on Future Objectives and Goals**
- **Professional Growth: (Future Oriented)**
  - **Short and Long Term Goals**
  - **Professional Development Model**

# THE COUNSELING PROCESS

- Identify the need for counseling
- Prepare for counseling
- Conduct counseling
- Follow up

# PREPARE FOR COUNSELING

- Select a suitable place.
- Schedule the time.
- Notify the subordinate well in advance.
- Organize the information.
- Outline the components of the counseling session.
- Plan a counseling strategy.
- Establish the right atmosphere.

# CONDUCT THE COUNSELING SESSION

- Opening the Session
- Discussing the Issues
- Developing the Plan of Action
- Recording and Closing the Session

VGT-9, Follow Up

# FOLLOW UP

- LEADER'S RESPONSIBILITIES
- ASSESS THE PLAN OF ACTION

L428/OCT03/VGT-9 Advanced Noncommissioned Officer Course

VGT-10, Developmental Counseling Form

**DEVELOPMENTAL COUNSELING FORM**

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Lester, James T.** | **SSG** | **123-45-6789** | **6 SEP 03** |

| Organization | Name and Title of Counselor |
|---|---|
| **UNIT NAME** | **SFC Paul, Joseph J./ Platoon SGT** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**Performance/Professional Growth: SSG Lester is receiving his 3rd Quarterly Counseling and 3rd NCOER counseling (see attached DA Form 2166-8-1)**
**Facts: SSG Lester just completed the Command Inspection, and is preparing for deployment to JRTC.**

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856-E, JUN 99

EDITION OF JUN 85 IS OBSOLETE

VGT-11, Part III, Summary of Counseling

**PART III – SUMMARY OF COUNSELING**
**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion**

- **Review and assess last Performance/Prof. Growth Counseling.**
- **Preparation for upcoming JRTC deployment**
  - *Review squad's SRP packets*
  - *Squad and individual equipment readiness*
  - *Squad's APFT, weapons qual, military and civilian education, and boards*
  - *Squad battle drill and collective task rehearsals*
- **Additional Duty areas of focus**
  - *Re-designate weapon numbers to correlate with Platoons*
  - *Update maintenance record files*
  - *Update weapons cards for new Commander's signature*
  - *Review Hand Receipts / Command Maintenance schedules*
- **Short Term Goals**
  - *Score 300 on next APFT*
  - *Complete safe, no-accident JRTC*
  - *Conduct squad battle drills against realistic enemy*
- **Long Term Goals**
  - ***Promotion to SFC** – DA Photo, Records Review*
  - ***Platoon SGT Assignment** – Increase responsibility and accountability*
  - ***Develop team leaders** to become effective squad leaders*
- **Leadership Self-Assessment (FM 22-100, appendix B)**
  - ***Strength:** Skills – Technical – knows how to use and maintain equipment*
  - ***Weakness:** Actions – Improving – Developing – Observe, assess, counsel, coach and evaluate subordinate leaders*

OTHER INSTRUCTIONS
This for m will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

**L428/OCT03/VGT-11** **Advanced Noncommissioned Officer Course**

VGT-12, Plan of Action

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

- o *Conduct a squad SRP packet review by 10 Oct and update as needed (special attention on family care plans, medical and dental records) .*
- o *Verify load plans within 30 days and submit operational supply request to Supply SGT*
- o *Conduct TA-50 layout to check serviceability and accountability by 30 Oct.*
- o *Assign new numbers and re-label weapons 15 Nov.*
- o *Create new weapons cards, 1 platoon per week, for next six weeks.*
- o *Verify all hand receipts by platoon in conjunction with new weapon cards issue.*
- o *Prepare vigorous workout plan for evening personal fitness program this week.*
- o *Conduct extensive rehearsals and safety briefings weekly until completion of JRTC.*
- o *Bring uniform to PSG for inspection 2 weeks prior to DA photo appointment.*
- o *Conduct leadership assessments on each team leader by 30 Nov.*
- o *Coach subordinate leaders on equipment operation and maintenance (Your strength).*
- o *To develop your self-assessed weakness: observe, assess, and conduct leadership development counseling with your subordinate team leaders.*
- o *Monthly assessments on or about 6 OCT, 6 NOV, 6 DEC.*

**L428/OCT03/VGT-12** **Advanced Noncommissioned Officer Course**

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands The plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above
Individual counseled remarks:

Signature of : Individual counseled *James T. Lester* Date: *6 Sep 03 .*

**Leader Responsibilities** : (Leader's responsibilities in implementing the plan of action):

*I will spot check SRP packets for completeness.*
*Will inspect up-loaded equipment once loaded onto squad vehicles.*
*Place TA-50 layout inspection on training schedule.*
*Inspect uniform and provide DA Photo guidance and advice.*
*I will review and coach you with your subordinate leader leadership assessments.*
*Observe and assess your equipment operation and maintenance training.*
*Provide a copy of DA Pam 600-25 and any assistance you may require to conduct leadership counseling with your subordinate leaders.*

Signature of : Individual counseled *Joseph J. Paul* Date: *6 Sep 03 .*

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessments done on: 3 Oct 03 JTL/JJP***
*On 26 Sep checked 2 SRP packets, which were exceptionally complete and thorough*
*On 2 Oct SSG Lester had squad load up equipment and moved to predetermined site.*
*Necessary adjustments to load plans were made and recorded prior to movement.*

Counselor: _____ Individual Counseled:_____ Date of Assessment: _____

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

**L428/OCT03/VGT-13** **Advanced Noncommissioned Officer Course**

VGT-14, Counseling Record, Key Points Made

COUNSELING

1. Go over each part of the duty description with rated NCO. Discuss any changes, especially to the area of special emphasis.

2. Tell rated NCO how he / she is doing. Use your success standards as a guide for the discussion (the examples on pages 3 and 4 may help). First, for each value/responsibility, talk about what has happened in response to any discussion you had during the last counseling session (remember, observed action, demonstrated behavior and results). Second, talk about what was done well. Third, talk about how to do better. The goal is to get all NCOs to be successful and meet standards.session.

3. When possible, give examples of excellence that could apply. This gives the rated NCO something to strive for, REMEMBER, EXCELLENCE IS SPECIAL, ONLY A FEW ACHIEVE IT! Excellence includes results and often involves subordinates.

4. Ask rated NCO for ideas, examples and opinions on what has been done so far and what can be done better. (This step can be done first or last).

BEFORE THE NCO DEPARTS THE COUNSELING SESSION

1. Record counseling date on this form.
2. Write any additional key points that came up during the counseling session on this form.
3. Show key points to rated NCO and get his/her initials.
4. Save NCO-ER with this checklist for next counseling (Notes should make record NCO-ER preparation easy at the end of the rating period.

**COUNSELING RECORD/KEY POINTS MADE**

INITIAL

***o Squad Leader duty description and responsibilities to include to train, lead, and develop the squad***
***o Leaders Book review***
***o Organizational and personal goals***
***o See DA Form 4856, Reception and Integration counseling***

DATE ***6 Mar 03*** RATED NCO'S INITIALS ***JTL***

LATER

***Quarterly counseling with subordinates performed to standard, should focus on more in-depth developmental counseling Passed APFT with 284 Prepare for upcoming BDE CI***
***Completed 6 subcourses, continue to improve education with correspondence courses.***
***See DA Form 4856, 2nd Quarter performance/professional growth counseling***

DATE ***5 Jun 03*** RATED NCO'S INITIALS ***JTL***

LATER

***o 4th Squad passed BDE CI with "Exceptional" on Equipment Readiness and "Sat" in Training***
***o Counseling program is developing well, sharpen focus on subordinate leadership development***
***o Prepare for JRTC deployment with equipment checks, battle drill rehearsals, and safety briefings***
***o See DA Form 4856, 3rd quarter performance/professional growth counseling***

DATE ***6 Sep 03*** RATED NCO'S INITIALS ***JTL***

**L428/OCT03/VGT-14** **Advanced Noncommissioned Officer Course**

VGT-15, DA Form 2166-8-1

| RATED NCO'S NAME *(Last, First Middle Initial)* | SSN | THRU DATE |
|---|---|---|
| ***Lester, James T. James. Lester@*** | ***123-45-6789*** | |

PART IV (Rater) – VALUES/RESPONSIBILITIES

*Specific bullet examples of "EXCELLENCE" or "NEEDS IMPROVEMENT" are mandatory*
*Specific bullet examples of "SUCCESS" are optional*

| | |
|---|---|
| b. COMPETENCE<br>o Duty proficiency; MOS competency<br>o Technical & tactical; knowledge, skills, and abilities<br>o Sound judgment<br>o Seeking self-improvement; always learning<br>o Accomplishing tasks to the fullest capacity; committed to excellence<br>EXCELLENCE *(Exceeds std)* [ ] SUCCESS *(Meets std)* [X] NEEDS IMPROVEMENT *(Some)* [ ] *(Much)* [ ] | o Constantly seeking to improve, completed 6 subcourses during rating period<br>o<br>o |
| c. PHYSICAL FITNESS & MIITARY BEARING<br>o Mental and physical toughness<br>o Endurance and stamina to go the distance<br>o Displaying confidence and enthusiasm; looks like a soldier<br>EXCELLENCE *(Exceeds std)* [X] SUCCESS *(Meets std)* [ ] NEEDS IMPROVEMENT *(Some)* [ ] *(Much)* [ ] | APFT PASS 0304 HEIGHT/WEIGHT 69/163 YES<br>o Received Physical Fitness Badge<br>o<br>o |
| d. LEADERSHIP<br>o Mission first<br>o Genuine concern for soldiers<br>o Instilling the Spirit to achieve and win<br>o Setting the example; Be, Know, Do<br>EXCELLENCE *(Exceeds std)* [ ] SUCCESS *(Meets std)* [X] NEEDS IMPROVEMENT *(Some)* [ ] *(Much)* [ ] | o Ensured soldiers were regularly counseled and earned their trust and confidence as a caring leader<br>o<br>o |

**L428/OCT03/VGT-15** **Advanced Noncommissioned Officer Course**

Enabling Learning Objective B

Learning Step 1

VGT-16, Developmental Counseling as a Technique of Mentoring

# DEVELOPMENTAL COUNSELING AS A TECHNIQUE OF MENTORING

- **Mentoring is the proactive development of each subordinate through observing, assessing, coaching, teaching, <u>developmental counseling</u>, and evaluating.**
- **It results in people treated with fairness and equal opportunity.**
- **Mentoring is an inclusive process for everyone under a leader's charge.**

**L428/OCT03/VGT-16** **Advanced Noncommissioned Officer Course**

# ASSESS SUBORDINATE LEADER PERFORMANCE

- **OBSERVE** and **RECORD** leadership actions.
- **CLASSIFY** by comparing what you see to the performance indicators in Appendix B.
- **RATE** by determining if the performance is a strength or weakness.
- Conduct **DEVELOPMENTAL COUNSELING**.
- Continue to **ASSESS** the **PLAN OF ACTION**.

# Appendix B, Performance Indicators

## THE LEADER

of Character and Competence ACTS

| Values | Attributes | Skills | Actions |
|---|---|---|---|
| "BE" | | "KNOW" | "DO" |

To Achieve Excellence

| | | | |
|---|---|---|---|
| Loyalty<br>Duty<br>Respect<br>Selfless Service<br>Honor<br>Integrity<br>Personal Courage | Mental<br>Physical<br>Emotional | Interpersonal<br>Conceptual<br>Technical<br>Tactical | **Influencing**<br>- Communication<br>- Decision Making<br>- Motivating<br>**Operating**<br>- Planning<br>- Executing<br>- Assessing<br>**Improving**<br>- Developing<br>- Building<br>- Learning |

*….by providing purpose, direction, and motivation.*

L428/OCT03/VGT-18 Advanced Noncommissioned Officer Course

# CLASSIFY LEADER ACTIONS USING APPENDIX B

- Use Appendix B as an assessment and counseling tool.
- Compare your observations to the performance indicators in Appendix B.
- List the observed leadership actions under the most appropriate leadership dimension.
- Look deeper than general performance indicators.
- Be specific, precise, objective, fair.

# APPENDIX B
# Rate Performance Indicators

- Determine if the leadership performance meets or falls below the standards
- Determine which actions are strengths to be maintained
- Determine the actions that are weaknesses that need focused plans for improvement

# Conduct Developmental Counseling

- Set specific goals that will improve leadership performance
- Design a plan of action together
- Agree on the actions necessary to improve specific leadership dimensions
- Teach specific leadership skills needed for the actions
- Coach subordinate as he practices new or developing leadership skills

# Assess the Plan of Action

- Review the plan of action regularly
- Check the progress of the plan of action for attaining the set goals
- Change or adjust the plan if necessary
- Observe and record results of the plan of action on an ongoing basis

# DEVELOPMENTAL COUNSELING AS A TECHNIQUE OF MENTORING

- Mentoring is totally inclusive, real life leader development for every subordinate.
- Mentoring links operating leader actions to improving leader actions (Appendix B).
- What have you done lately to develop the leaders of tomorrow's Army?

# OBSERVER'S WORKSHEET

Observer's Worksheet Case Study: _____

**Instructions:** Rate the counselor on the items below using the scale provided.

| 0 | 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|---|
| Not at all | Poor | Marginal | Satisfactory | Very good | Excellent |

***1. Components of the Counseling Session:***

**A. Open the session.** _____
Stated the purpose of the session and established a subordinate-centered tone.

**B. Discuss the issue.** _____
Developed a mutual understanding of the situation.

**C. Develop a plan of action.** _____
Jointly identified actions to either solve problem, improve performance, or achieve goals.

**D. Close the session.** _____
Summarized key points, checked acceptance of plan of action, established follow-up measures.

***2. Leader Counseling Skills***

**A. Active Listening** _____
Gave full attention to subordinate, maintained appropriate eye contact and made appropriate gestures.

**B. Responding** _____
Checked understanding by paraphrasing or summarizing.

**C. Questioning** _____
Asked open ended questions to gain information or provoke thought.

***Total Score:*** ..... _____

**L428/OCT03/VGT-24** **Advanced Noncommissioned Officer Course**

# OBSERVER'S WORKSHEET, (cont)

***3. Comments*** **should be provided on each component of the counseling session and leader counseling skills listed on the front side of this form:**

**Overall strengths of the counseling session:**

**Areas where improvement is needed:**

**Name of Counselor: _____ Signature: _____ Date: _____**
**Name of Observer: _____ Signature: _____ Date: _____**

# SUMMARY

## Developmental Counseling

- Definition
- Elements of an Effective Unit Counseling Program
- Four stages of the process

## The Counseling Form

- DA Form 4856
- Link to DA Form 2166-8-1
- Assessments produce bullets for the DA Form 2166-8

## Mentoring

- Observing and assessing
- Coaching and teaching
- Developmental Counseling
- Evaluating

## Purpose

To Mentor and Develop Tomorrow's Leaders

## Leader Development

- Observe and record
- Classify and rate
- Developmental Counseling
- Assess plan of action

## Appendix B  Test(s) and Test Solution(s)  (N/A)

## PRACTICAL EXERCISE SHEET PE-1

| | |
|---|---|
| **Title** | Classification and Rating Exercise |
| **Lesson Number/Title** | L428 version 1 / COUNSEL SUBORDINATES |
| **Introduction** | Professional counselors receive years of schooling to learn how to effectively counsel. In the military, all leaders are able to counsel senior NCOs and senior NCOs should be able to teacher and coach subordinates. In this lesson you reviewed the fundamentals of leadership assessment and development. Now you will have the opportunity to apply the classification and rating skills in some very realistic counseling situations. |
| **Motivator** | To be a successful Army leader, you must develop the subordinate leaders who will be the senior leaders of tomorrow's Army. You develop those subordinate leaders by assessing, developmental counseling, and mentoring. Successful counselors at the SFC level know how to teach and coach counseling techniques, know what correct counseling looks like, and mentor subordinate leaders. This training will refine your counseling and leader development skills and familiarize you with mentorship skills, which you will continue to develop as you grow as a leader. |
| **Learning Step/Activity** | **NOTE:** The instructor should inform the students of the following Learning Step/Activity requirements. (ELO B.1)<br>At the completion of this lesson, you [the student] will:<br>**Action:** Classification and Rating Exercise |
| **Safety Requirements** | None |
| **Risk Assessment Level** | Low |
| **Environmental Considerations** | None |
| **Evaluation** | This is not a graded PE. At the end of the PE, you will receive a solution sheet. As a group, you will discuss the solution and resolve any misunderstandings. |
| **Instructional Lead-In** | This PE replicates real life situations that directly relate to the material covered in the lesson. |
| **Resource Requirements** | **Instructor Materials:**<br>None<br><br>**Student Materials:**<br>Pen or pencil. |
| **Special Instructions** | None |

**Procedures**

**Directions:** As an assessor, you have observed and recorded behaviors. It is now your task to 1) classify using the **attributes, skills and actions** and 2) rate the behaviors as either leader strength (S) or a leader weakness (W).

Remember that a rating of "S" represents a successful performance of the task by a leader in the targeted leadership position, while a rating of “W” means that the leader needs some improvement in this area to meet the standard. Review the definition of each attribute, skill or behavior before you rate the behaviors.

1. Training stopped as soon as the mortar round landed outside the impact area. The investigating officer interviewed the platoon and found that some ammunition containers were open and left out the previous night. He also found that the aiming circle used to lay the mortars was improperly set up. When asked to show how to operate the mortar's sight, the squad leader was unable to properly perform the task two times out of five.

**Classification: _____** **Rating: _____**

2. SSG Hardy spoke in a clear, articulate manner with considerable inflection, enthusiasm, and confidence. At times however, his enthusiasm caused him to be rather lengthy in his responses, which also caused him to occasionally become sidetracked from the topic of the discussion.

**Classification: _____** **Rating: _____**

3. After issuing clear guidance, SSG Jones established milestones for the training and then told the team leaders that he wanted them to brief him on their plans in three days. He listened to their plans, gave recommendations, and then watched each team conduct the training.

**Classification: _____** **Rating: _____**

4. SFC Jones told the new Section Chief: "I'll test your competence by giving you lots of responsibility, step aside, and watch to see how you handle it. You will either sink or swim. If you can't produce, I need to find out now so that I can get rid of you and get a replacement." The new NCO was clearly not comfortable with this plan, but before he could ask any questions, SFC Jones left the room.

**Classification: _____** **Rating: _____**

5. SSG James established clear standards, told team leaders what he expected, and then monitored closely to see where he could assist and to see if his expectations were met. In doing this, he ensured uniformity of performance in critical areas. His presence demonstrates the importance of the mission and the high standards he expects from the soldiers.

**Classification: _____ Rating: _____**

6. SFC Thomas decided to counsel every soldier in his platoon that would soon be in the window for reenlistment. He identified the six soldiers in his platoon who were in the window, checked with the reenlistment NCO, and arranged to meet with each soldier for thirty minutes. Though the sessions went well, there were numerous interruptions because SFC Thomas used the day room to meet with the soldiers.

**Classification: _____ Rating: _____**

7. Since SSG Foote did not have all the information she needed, she talked to the platoon sergeant and the other squad leaders. After considering the information they provided, she selected a course of action.

**Classification: _____ Rating: _____**

8. During a maintenance quality assurance check, an improperly adjusted vehicle winch was found. SGT Miller, the mechanic who completed the service, said he did not know this was part of the service. The vehicle's technical manual clearly shows this is one of the checks. No other problems were found during a check of the rest of the vehicle.

**Classification: _____ Rating: _____**

9. SSG Sharpe called the weather service, considered their forecast, and announced that the class would be held in the auditorium.

**Classification: _____ Rating: _____**

10. As soon as it was evident that none of the section leaders understood the new requisitioning procedures, SSG Good took time to explain the procedures to them. He used the chalkboard to illustrate the procedures step by step and identify responsibilities. He showed them how to complete the forms and explained the advantages of the new system. After the short class, each of them seemed to understand the system.

**Classification: _____ Rating: _____**

11. Because of a long line at the supply window, the supply clerk chose to issue the tools without referring to the SOP or talking to his NCOIC. Causing property accountability problems on the shortage annex.

**Classification: _____ Rating: _____**

12. The support Platoon Sergeant was always looking for new ideas. He came up with a creative plan for resupplying the companies. Initially, there was some resistance to the new procedures because they changed the way the companies had been operating. In time, the new procedures improved resupply procedures.

**Classification: _____** **Rating: _____**

13. SSG Wilson presented his ideas for improving TOC operations to the OPS NCOIC. The ideas were very innovative. SFC Thomas listened to the ideas but quickly discounted them as being too different from the way they had been operating.

**Classification: _____** **Rating: _____**

14. According to his NCOIC, SPC Jones entered and sent incorrect data into the Digital Message Device during the fire mission.

**Classification: _____** **Rating: _____**

15. The squad leader used the reverse planning process to ensure the unit would cross the line of departure on time. He correctly considered that movement at night would be slow.

**Classification: _____** **Rating: _____**

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**Feedback Requirements**

None

**SOLUTION FOR**
**PRACTICAL EXERCISE PE-1**

**Directions:** As an assessor, you have observed and recorded behaviors. It is now your task to 1) classify using the attributes, skills and actions and 2) rate the behaviors as either leader strength (S) or a leader weakness (W) using the following rating scale:

Remember that a rating of "S" represents a successful performance of the task by a leader in the targeted leadership position, while a rating of “W” means that the leader needs some improvement in this area to meet the standard. Review the definition of each attribute, skill or behavior before you rate the behaviors.

1. Training stopped as soon as the mortar round landed outside the impact area. The investigating officer interviewed the platoon and found that some ammunition containers were open and left out the previous night. He also found that the aiming circle used to lay the mortars was improperly set up. When asked to show how to operate the mortar's sight, the squad leader was unable to properly perform the task two times out of five.

**Classification: Executing/Tech skills** **Rating: W**

2. SSG Hardy spoke in a clear, articulate manner with considerable inflection, enthusiasm, and confidence. At times, however, his enthusiasm caused him to be rather lengthy in his responses, which also caused him to occasionally become sidetracked from the topic of the discussion.

**Classification: Communicating** **Rating: W**

3. After issuing clear guidance, SSG Jones established milestones for the training and then told the team leaders that he wanted them to brief him on their plans in three days. He listened to their plans, gave recommendations, and then watched each team conduct the training.

**Classification: Planning/Tech skills** **Rating: S**

4. SFC Jones told the new Section Chief: "I'll test your competence by giving you lots of responsibility, step aside, and watch to see how you handle it. You will either sink or swim. If you can't produce, I need to find out now so that I can get rid of you and get a replacement." The new NCO was clearly not comfortable with this plan, but before he could ask any questions, SFC Jones left the room.

**Classification: Developing/Motivating** **Rating: W**

5. SSG James established clear standards, told team leaders what he expected, and then monitored closely to see where he could assist and to see if his expectations were met. In doing this, he ensured uniformity of performance in critical areas. His presence demonstrates the importance of the mission and the high standards he expects from the soldiers

**Classification: Executing** **Rating: S**

6. SFC Thomas decided to counsel every soldier in his platoon that would soon be in the window for reenlistment. He identified the six soldiers in his platoon who were in the window, checked with the reenlistment NCO, and arranged to meet with each soldier for 30 minutes. Though the sessions went well, there were numerous interruptions because SFC Thomas used the day room to meet with the soldiers.

**Classification: Planning** **Rating: W**

7. Since SSG Foote did not have all the information she needed, she talked to the platoon sergeant and the other squad leaders. After considering the information they provided, she selected a course of action.

**Classification: Decision making** **Rating: S**

8. During a maintenance quality assurance check, an improperly adjusted vehicle winch was found. SGT Miller, the mechanic who completed the service, said he did not know this was part of the service. The vehicle's technical manual clearly shows this is one of the checks. No other problems were found during a check of the rest of the vehicle.

**Classification: Executing/Technical** **Rating: W**

9. SSG Sharpe called the weather service, considered their forecast, and announced that the class would be held in the auditorium.

**Classification: Decision making** **Rating: S**

10. As soon as it was evident that none of the section leaders understood the new requisitioning procedures, SSG Good took time to explain the procedures to them. He used the chalkboard to illustrate the procedures step by step and identify responsibilities. He showed them how to complete the forms and explained the advantages of the new system. After the short class, each of them seemed to understand the system.

**Classification: Developing/Technical skills** **Rating: S**

11. Because of a long line at the supply window, the supply clerk chose to issue the tools without referring to the SOP or talking to his NCOIC. Causing property accountability problems on the shortage annex.

**Classification: Decision Making** **Rating: W**

12. The support Platoon Sergeant was always looking for new ideas. He came up with a creative plan for resupplying the companies. Initially, there was some resistance to the new procedures because they changed the way the companies had been operating. In time, the new procedures improved resupply procedures.

**Classification: Learning** **Rating: S**

13. SSG Wilson presented his ideas for improving TOC operations to the OPS NCOIC. The ideas were very innovative. SFC Thomas listened to the ideas but quickly discounted them as being too different from the way they had been operating.

**Classification: Learning** **Rating: W**

14. According to his NCOIC, SPC Jones entered and sent incorrect data into the Digital Message Device during the fire mission.

**Classification: Learning** **Rating: W**

15. The squad leader used the reverse planning process to insure the unit would cross the line of departure on time. He correctly considered that movement at night would be slow.

**Classification: Planning** **Rating: S**

## PRACTICAL EXERCISE SHEET PE-2

| | |
|---|---|
| **Title** | Role-Play Exercise |
| **Lesson Number/Title** | L428 version 1 / COUNSEL SUBORDINATES |
| **Introduction** | Use the situations in SH-9 for the counseling preparation and role-play exercise. In each scenario, a brief reading for both the leader and the subordinate. Students may play the role of any leader or subordinate in the scenarios. |
| **Motivator** | To be a successful Army leader, you must develop the subordinate leaders who will be the senior leaders of tomorrow's Army. You develop those subordinate leaders by assessing, developmental counseling and mentoring. Successful counselors at the SFC level know how to teach and coach counseling techniques, know what correct counseling looks like, and mentor subordinate leaders. This training will refine your counseling and leader development skills and familiarize you with mentorship skills that you will continue to develop as you grow as a leader. |
| **Learning Step/Activity** | **NOTE:** The instructor should inform the students of the following Learning Step/Activity requirements. (ELO C.1)<br>At the completion of this lesson, you [the student] will:<br>**Action:** Role-Play Exercise |
| **Safety Requirements** | None |
| **Risk Assessment Level** | Low |
| **Environmental Considerations** | None |
| **Evaluation** | This is not a graded PE. At the end of the PE, you will receive a solution sheet. As a group, you will discuss the solution and resolve any misunderstandings. |
| **Instructional Lead-In** | This PE replicates real life situations that directly relate to the material covered in the lesson. |
| **Resource Requirements** | **Instructor Materials:**<br>None<br><br>**Student Materials:**<br>Pen or pencil. |

**Special Instructions**

Preparation for Counseling (role-play). Instructors will assign students a counseling situation (App D, SH-9). All other students will act as observers and will complete an *Observers Worksheet* (App D, SH-10) during the counseling role-play and prepared to discuss his/her results with class following the role-play exercise. Require a blank Observers Worksheet for each student to use during each of the five role-plays.

Instructor selects a pair of students to conduct each of the counseling/leader development role-play situations. Within the pairs assigned, give students the roles of leader and subordinate. The instructor will give the leader and subordinate the handout for their situation (App D). The subordinate and leader will read the handouts prior to the beginning of the counseling session. A blank DA Form 4856 is available as Student Handout #7 in Appendix D.

The rest of the class will evaluate the leader's counseling performance using the *Observer's Worksheet (App D, SH-10)*. The theory is that the students will have to demonstrate some mastery of the task to correctly evaluate someone else.

**Special Instructions for each situation:**

**Situation #1:** During this situation, pass out the entire counseling packet for PFC Smith to all students in the class. Allow them 10 minutes to read over the counseling forms, looking for strengths and weaknesses in 1st squad's counseling program. Allow 10 minutes for the role-play of the PSG giving feedback to the squad leader on his counseling program and developing the squad leader. At the end of the role-play, take another 10 minutes to go over the other students' observations, pass out and discuss the solution sheet for situation #1, and facilitate discussion on the topic of counseling program supervision.

**Situation #2:** Allow 5 minutes for the role players to read their situation. Issue a DA Form 4856 to the PSG role player. Allow 10 minutes for the role players to conduct the counseling session. At the end of the role-play, take 5 minutes to go over the other students' observations, and the solution sheet (DA Form 4856), and facilitate discussion on the topic of event-oriented counseling for superior performance

**Situation #3:** Allow 5 minutes for the role players to read their situation. Issue a DA Form 4856 to the PSG role player. Allow 10 minutes for the role players to conduct the counseling session. At the end of the role-play, take 10 minutes to go over the other students' observations, and the solution sheet (DA Form 4856) and facilitate discussion on the topic of subordinate leader assessment and development.

**Situation #4:** Allow 5 minutes for the role players to read their situation. Issue a DA Form 4856 to the PSG role player. Allow 10 minutes for the role players to conduct the counseling session. At the end of the role-play, take 10 minutes to go over the other students' observations, and the solution sheet (DA Form 4856), and facilitate discussion on the topic of mentoring subordinate leaders.

**Situation #5:** Issue the DA Form 2166-8-1 and DA Form 2166-8 that the Platoon Leader completed before the counseling session to all students. Allow 10 minutes for the role players to read their situation. During this time, encourage the student playing the role of the PSG to teach and coach the Platoon Leader to counsel him using a DA Form 4856 as taught earlier during this lesson. Allow 15 minutes for

the role players to conduct the counseling and mentoring session. At the end of the role-play, take 10 minutes to go over the other students' observations, and the solution sheet (DA Form 4856), and facilitate discussion on the topic of the platoon sergeant's mentoring relationship with the platoon leader.

**Procedures**

This role-play exercise includes the following situations:

Situation 1. "Inspecting the 1 st Squad Leader's Developmental Counseling Program"
Situation 2. "NCO of the Month"
Situation 3. "Leadership Assessment and Development with the 4 th Squad Leader"
Situation 4. "Mentoring the Services Section Sergeant"
Situation 5. "Developmental Counseling by Platoon Leader"

**Feedback Requirements**

There is no one solution for this PE. At the end of the role-plays, the students will discuss observations. The class will discuss any points the leader may have missed.

**SOLUTION FOR**
**PRACTICAL EXERCISE PE-2**

The Platoon sergeant should note the following during his inspection of PFC Smith's counseling packet:

Reception and Integration Counseling dated 03 Sep 03:

> Part II did not state Event-Oriented.
> Four separate actions, noted in part IV that warrant an event-oriented performance counseling session for superior performance, but not conducted.

Quarterly Performance/Professional Growth Counseling dated 5 Dec 02:

> No assessment dates identified in the plan of action.
> Again there are at least three occasions, noted in part IV, where PFC Smith should have received an event-oriented performance counseling for superior performance, but not conducted.

Quarterly Performance/Professional Growth Counseling dated 5 Mar 03:

> Leader's Responsibilities should have included other responsibilities to support the plan of action.
> At least one occasion, noted in part IV, where PFC Smith should have received an event-oriented performance counseling for superior performance, but wasn't conducted.
> Assessment date 6 May 03, noted no significant performance. This is not an acceptable entry. Leader should always indicate some performance during an assessment. Even if subordinate was on leave or otherwise absent from the leaders supervision, that fact spelled out in the assessment.

You also should have noted that substandard performance counseling sessions conducted in a timely manner, but superior performance counseling's not conducted at all. You should emphasize to SSG Dailey that he should counsel for specific examples of superior as well as substandard duty performance.

**Situation #1, PFC Smith's Reception and Integration Counseling**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Smith, Joseph** | **PVT/E-2** | **123-45-6789** | **03 SEP 02** |

| Organization | Name and Title of Counselor |
|---|---|
| Your Unit | **SGT Lester, James. / Squad leader** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**This is your Reception and Integration Counseling. You are assigned to 4th squad, 1st Platoon.**

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Personal and Family Issues:**
- ***o Finances (PCS Entitlements, Leaves)***
- ***o SM is single with no dependants***

**o Discuss duty position, review job description, and unit specific responsibilities:**
- ***o Discuss duty position and job responsibilities***
- ***o Standards – obtaining and sustaining***
- ***o Deployments and Exercises***
- ***o Duty Rosters and Training Schedules***
- ***o Unit METL, Command Policies and SOPs***
- ***o Unit Physical Fitness Program***
- ***o Soldier Key Information***
- ***o Equipment Accountability and Maintenance***
  - ***o Hand Receipt***
  - ***o Command Maintenance***
- ***o Chain of Command/NCO Support Channel***
- ***o Alert/Recall Roster and Accountability***

**o Living in the Barracks:**
- ***o Discussed room standards and quality of life issues***

**o Personal and Organizational Goals:**
- ***o Unit Readiness***
- ***o Professional Development***
  - ***o Education (Civilian and Military)***
  - ***o Career Enhancing Opportunities (Soldier of the Month Board, Operator of the month)***
  - ***o Short and Long Term Goals***

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Review Unit METL and Command Policies by Monday, and SOPs by the end of next week.***

***o Prepare to take a diagnostic PT test within 30 days.***

***o Prepare to sign for equipment by 26 Sep 02.***

***o Know the chain of command and NCO support channel by the end of next week.***

***o Set up room IAW barracks SOP by Monday.***

***o Visit the education center to look into next semester's class schedule.***

***o In support of short-term goal of promotion to PFC, study appropriate level STP, enroll in the Army Correspondence Program, and be at appointed place of duty in the prescribed uniform at all times.***

***o In support of the long-term goal of promotion to SPC, work on weapon qualification, physical fitness, and military/civilian education.***

***o Study Army Regulations and Field Manuals for board appearance.***

***o Assessment dates on or about: 3 Oct 02, 3 Nov 02, and 3 Dec 02***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Joseph Smith*** Date: ***03 Sep 02***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Introduce to other squad members; Provide copy of METL and SOPs; Prepare hand receipt for equipment; Provide chain of command and NCO support channel information; Check room setup on Monday; Afford time to visit ed-center and assist with decision on classes; Provide a copy of appropriate STP & help with enrollment for ACCP; Provide a list of references to study for SOM board.***

Signature of Counselor: ***James T. Lester*** Date: ***03 Sep 02 .***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***ASSESSMENTS DONE ON: 3 OCT 02, JS JTL 4 NOV 02 JS JTL***

***On 7 Sep 02 PV2 Smith displayed good understanding of METL and SOPs, barracks area display IAW SOP. On 2 Oct 02 PV2 Smith took a diagnostic APFT and scored 220 with a score of 65 on the run.***

***4 Oct 02 PV2 Smith recited the entire NCO Support Channel during in ranks inspection conducted by the PSG.***
***7 Oct 02 PV2 Smith enrolled in the ACCP signing up for the basic operators course.***

***6 Nov 02 PV2 Smith's vehicle received a commendable rating during a unit level maintenance inspection. On 18 Nov 02 PV2 Smith did a super job in conducting section PT.***
***28 Nov 02 PV2 Smith fired expert 39 out of 40 with his assigned weapon.***

Counselor: ***James T. Lester*** Individual Counseled: ***Joseph Smith*** Date of Assessment: ***5 Dec 02 .***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**Situation #1, PFC Smith's First Substandard Performance Counseling**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Smith, Joseph** | **PVT/E-2** | **123-45-6789** | **15 OCT 02** |

| Organization | Name and Title of Counselor |
|---|---|
| Your Unit | **SGT Lester, James. / Squad leader** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

***Inability to maintain unit physical fitness goals by consistently falling out of unit runs.***

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

***o Falling out of unit runs (WHY?)***

***o Determined no identifiable reason for shortcoming***

***o Plans to improve level of fitness***

***o Individual fitness plan***
***o Assessment plan***

***o Consequences of continued substandard performance:***

***o Peer's perception***
***o Career implications***

***o Goal timeline to achieve and maintain unit standards:***

***o Tips to reach your goals***

***o Recommended facilities***

***o Gym, track, and pool***

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Develop individual physical fitness plan that will coincide with the unit's supplement physical fitness program IAW FM 21-20, Chapter 10.***

***o Submit individual physical fitness plan to SGT Lester NLT Friday, 18 Oct 02 for approval.***

***o Assess diet/nutrition (Reference: FM 21-20, Chapter 6).***

***o Solicit peers for encouragement and support.***

***o Assessment date: On or about 30 Nov 02***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Joseph Smith*** Date: ***15 Oct 02 .***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***o Provide soldier with FM 21-20 and review appropriate chapters that support his plan of action.***
***o Review soldier's individual fitness plan to verify that it supports his goals/objectives.***
***o Protect after duty hours (within mission constraints) so plan can be executed.***
***o Encourage peers to provide moral and physical support.***
***o Conduct another diagnostic PT test within the next 3-4 weeks to verify progress/benefits of individual supplemental physical fitness program***

Signature of Counselor: ***James T. Lester*** Date: ***15 Oct 02 .***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***18 Nov 02 PV2 Smith took an additional diagnostic PT test to assess his individual PT program and increased his score on the run by 20 points***

***29 Nov 02 PV2 Smith has completed the last 5 unit runs without falling out. His individual fitness program has accomplished its intended purpose. Strongly recommend that PV2 Smith continue with his fitness program.***

Counselor: ***James T. Lester*** Individual Counseled: ***Joseph Smith*** Date of Assessment: ***29 Nov 02***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**Situation #1, PFC Smith's 2nd Quarterly Performance and Professional Growth Counseling**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Smith, Joseph** | **PVT/E-2** | **123-45-6789** | **05 DEC 02** |

| Organization | Name and Title of Counselor |
|---|---|
| **Your Unit** | **SGT Lester, James. / Squad leader** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**This is your Quarterly performance/professional growth counseling stressing preparation for deployment to JRTC.**

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Review and assess Reception and Integration Counseling.**

**o Physical Fitness**
- ***o Prepare for upcoming record APFT***

**o Potential for promotion**
- ***o Eligible for E-3 in February; I will recommend***

**o Preparation for upcoming JRTC deployment:**
- ***o JRTC Packing list/ Load Plan***
- ***o PMCS on all equipment going to JRTC (radios, vehicles…)***
- ***o Train-up for JRTC Rotation; study Rules of Engagement (ROE)***
- ***o Storage of POV (if applicable)***
- ***o Storage of personal belongings and equipment while at JRTC***
- ***o SRPs***
- ***o Deployment Briefings***
- ***o Plan for paying bills while deployed***
- ***o Flight schedule/ Manifesting***
- ***o Maintaining contact with family***

**o Short Term Goals:**
- ***o To appear before the SOM board and be selected as winner***

**o Long Term Goals:**
- ***o To complete Associate degree***
- ***o To have a successful and accident free JRTC Rotation***
- ***o Improve APFT score by 20 point***

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Develop a four-week end. Fitness plan to support goal of increasing APFT by 20 pts and present to SGT Lester NLT 20 Dec 03.***

***o Enroll in a college class to work towards an associate degree as soon as possible.***

***o Obtain a copy of the packing list and conduct a joint inventory with supervisor NLT 21 February 03.***

***o PMCS all equipment taken to JRTC two weeks prior to rail load ops above and beyond regular scheduled maintenance.***

***o Prepare for the train-up exercise for JRTC, conducted 6-17 Jan 03/ Study a copy of JRTC ROE.***

***o Take all valuables out of the car and secure the car in the BN designated area NLT 5 Mar 03.***

***o Inventory valuables and secure them inside wall lockers; supply sergeant will band the wall locker NLT 5 Mar 03.***

***o Go through the SRP at scheduled time and attend all deployment briefings.***

***o Develop plan to pay all bills prior to deployment and provide to SGT Lester NLT end of February.***

***o Be ready for manifesting with ID Card, ID Tags, and all personal equipment when the time comes.***

***o Inform family members that calling home will be limited by mid-February.***

***o Continue preparing to appear before the Soldier of the Month Board, scheduled for 14 February 03.***

***o Assessment dates:***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Joseph Smith*** Date: ***5 Dec 02 .***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Review your individual physical fitness plan to ensure it will help improve your APFT score; Protect your after duty hours (within mission constraints) to allow you time to attend college; Provide you with a copy of the JRTC packing list and conduct an inventory; Supervise PMCS on all equipment; Provide you with a schedule for the Train-Up Exercises for JRTC; Ensure you get a copy of the JRTC ROE; Coordinate time and date for you to secure your POV and personal valuables/items; Provide you with a copy of the flight schedule and SRP date/time; Submit recommendation for promotion and appearance before SOM board and conduct mock board.***

Signature of Counselor: ***James T. Lester*** Date: ***5 Dec 02 .***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessment done on: 6 Jan 03 JS/JTL 7 Feb 03 JS/JTL***

***10 Dec 02, PV2 Smith signed up for English Composition 101 with CTC. 16 Dec 02, PV2 Smith presented a well thought out PT plan that should support his goal of increasing APFT by 20 points. 18 Dec 02 PV2 Smith was selected as the "Military Appearance" standard setter during the 1SG's in rank inspection.***

***6-17 Jan 03, PV2 Smith's participation in the JRTC train-up proved to be invaluable as he exhibited tremendous knowledge of the overall mission and executed his responsibilities flawlessly. 5 Feb 02, due to PFC Smith's attention to detail and focus on maintenance, his vehicle experienced no breakdowns during rail load operations.***

***14 Feb 03, PFC Smith displayed exceptional professionalism and was selected overwhelmingly as the Battalion SOM. 25 Feb 03, PFC Smith provided copy of his bill payment plan and met all other pre-deployment requirements.***

Counselor: ***James T. Lester*** Individual Counseled: ***Joseph Smith*** Date of Assessment: ***5 Mar 03***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**Situation #1, PFC Smith's 3rd Quarterly Performance and Professional Growth Counseling**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Smith, Joseph** | **PFC/E-3** | **123-45-6789** | **5 MAR 03** |

| Organization | Name and Title of Counselor |
|---|---|
| **Your Unit** | **SGT Lester, James. / Squad leader** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**This is your Quarterly performance/professional growth counseling covering deployment to and from JRTC and recovery.**

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Review and assess last Performance/Professional Growth Counseling.**

**o Duties during JRTC rotation:**

- ***o Guard duty standards***
- ***o Member of NBC team***
- ***o Secondary operator for PSG vehicle***
- ***o Miscellaneous details in support of unit operations (KP, TOC guard…)***
- ***o Staying motivated during continuous operations***
- ***o Constantly thinking safety during all phases of the operations***

**o Preparation for and recovery from JRTC deployment:**

- ***o JRTC redeployment Packing list/ Load Plan***
- ***o PMCS on all equipment(radios, vehicles…)***
- ***o Flight schedule/ Manifesting***
- ***o Pick up of POV (if applicable)***
- ***o Discussed recovery timeline (SOP) and individual as well as unit requirements for completion***

**o Short Term Goals:**

- ***o To have a successful and accident free JRTC Rotation***
- ***o Complete college class currently enrolled in***

**o Long Term Goals:**

- ***o To continue working on Associate degree***
- ***o To assume a leadership role among peers***

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Study FM 22-6, Guard Duty and become familiar with basic responsibilities***

***o Review individual tasks associated with duties as a NBC team member***

***o Get with PSG's driver to ensure I'm listed as secondary operator by COB tomorrow***

***o Take copy of redeployment packing list with me to JRTC***

***o PMCS all equipment being taken to JRTC prior to redeployment and correct all operator level deficiencies***

***o Once redeployed stay focused on recovery responsibilities as outlined in recovery SOP until complete***

***o Remain safety conscious and stop any unsafe act immediately especially during deployment and recovery***

***o In support of short-term goal go to last class 6 Mar and do my best on final exam***

***o In support of long-term goal visit ed-center upon return and enroll in another college class***

***o In support of long-term goal seek opportunities to assume a leadership role among peers***

***o Assessment date: On or about 5 Apr 03, 5 May 03, and 5 June 03***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Joseph Smith*** Date: ***5 Mar 03***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Provide a copy of FM 22-6;***

Signature of Counselor: ***James T. Lester*** Date: ***5 Mar 03 .***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessments done on: 4 Apr 03 JS JTL 6 May 03 JS JTL***

***14 Mar 03, PFC Smith's awareness of safety prevented possible injury and vehicle damage by stopping a soldier who was moving his vehicle on a rail car without a ground guide; PFC Smith displayed outstanding professionalism during his tours on guard duty from 17-26 Mar 03***

***5 Apr-6 May 03, no significant performance***

Counselor: _____ Individual Counseled: _____ Date of Assessment: _____

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

## SH 5, PE-1, Situation #1, PFC Smith's 2nd Substandard Performance Counseling

**DEVELOPMENTAL COUNSELING FORM**

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Smith, Joseph** | **PFC/E-3** | **123-45-6789** | **15 APR 03** |

| Organization | Name and Title of Counselor |
|---|---|
| **Your Unit** | **SGT Lester, James. / Squad leader** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**Event Oriented: You are being counseled on your failure to pay your DPP at the Post Exchange.**
**Facts: For the last three months you have failed to pay a total of $93.33. The chain of command has been informed that the payments will be deducted from your pay if the total amount is not rendered within 15 days.**

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Root cause for the lateness on payments:**

***o PFC Smith said he did not get a bill for 2 months and thought he didn't owe anything.***

***o PFC Smith indicated that after receiving his last bill he felt he would be able to catch this up while deployed to JRTC, but failed to follow through.***

**o Budget plan:**

***o This obligation was not included in PFC Smith's bill payment plan because he didn't receive a bill.***

**o Consequences of over extended finances:**

***o Discussed how this behavior would ruin his credit in the future and possibly a career in the Army***

**o Plan to overcome delinquent payment and never allow this to happen again:**

***o PFC Smith has the extra money available to pay this now***

***o PFC Smith realizes it's his responsibility to be aware of all obligations and pay these even when not billed and he will attend the next budget counseling session offered***

**o Dishonorably failing to pay depth is punishable under Article 134 UCMJ:** In addition to being counseled on the points above, he/she received counseling on the following: (1) That continued behavior similar to that for which he/she has been counseled may result in punishment under Article 15, UCMJ, court-martial, or adverse action such as a bar to reenlistment, suspension of favorable personnel actions (promotion, retention, school), or other appropriate administrative sanctions; (2) That if this behavior continues that separation under the provisions of AR 635-200 may be initiated; (3) That if separated prior to ETS, that he/she could receive either an honorable, general, or other than honorable discharge for their current term of service, or their term of service would be uncharacterized if they have served less than 180 days on active duty; (4) The basis for each characterization of service and the discharge certificates received for each and that his/her character of service would become part of a permanent record and may be provided to any Federal agency if they were to apply for either federal employment or security clearance; (5) The possible effects that each type of discharge would have on reenlistment, civilian employment, veterans benefits, and related matters; (6) That a general discharge would cause loss of civil service retirement credit; (7) That an other than honorable discharge would result in him/her being reduced to the lowest enlisted rank, loss of payment of accrued leave, and loss of all benefits administered by the Veterans Administration and other federal and state agencies; (8) That separation prior to ETS may preclude him/her from enlisting in any component of the Armed Forces; (9) That separation prior to ETS may cause him/her to lose their entitlement to education benefits and money paid into the Army College Fund; (10) That separation prior to ETS may cause him/her to repay any unearned bonus received for enlistment or reenlistment; (11) That it would be unlikely that any attempt to have his/her characterization of service upgraded would be successful; (12) That he/she is encouraged to make every reasonable effort to ensure his/her performance and conduct meet military standards; (13) That he/she would be given a reasonable effort to bring their substandard performance and conduct to acceptable military standards.

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Go to main exchange and pay delinquent bill today and provide SGT Lester with a copy of the receipt***

***o Attend the post budget counseling class 23 Apr 03***

***o Go to appointment with the Unit Financial Advisor to get a budget drawn up within two weeks***

***o Based on the budget, draft a plan to make payments to all creditors and provide a copy to the chain-of-command within three weeks***

***o If over budgeted, consider consolidating some of the bills***

***o Stick with the budget until the financial problem has been resolved***

***o Follow-up with the chain-of-command monthly until the financial problem is taken care of.***

***o Assessment date: On or about 30 Apr 03 and 30 May 03***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Joseph Smith*** Date: ***15 Apr 03***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Enroll PFC Smith in the post budget counseling class; Schedule appointment with Unit Financial Advisor; Review budget plan; Follow-up monthly to ensure PFC Smith is staying within budget and all bills are being paid.***

Signature of Counselor: ***James T. Lester*** Date: ***15 Apr 03.***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessments done on: 30 Apr 03 JS JTL***

***15 Apr 03, Paid delinquent bill at main exchange and provided me with a copy of the receipt***

***1 May 03, Provided me with draft budget and paid all bills listed within the budget plans***

***PFC Smith has a handle on budget and will not make the same mistake in the future***

Counselor: ***James T. Lester*** Individual Counseled: ***Joseph Smith*** Date of Assessment: ***30 May 03***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**SH 5-PE Situation #2, NCO of the Month Event Oriented Counseling**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Seals, Tommy** | **SSG/E-6** | **123-45-6789** | **11 APR 03** |

| Organization | Name and Title of Counselor |
|---|---|
| **Your Unit** | **SFC Nash, Peter. / Platoon Sergeant** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**Event Oriented: You are being counseled on your superior performance of being selected as the battalion NCO of the Month.**
**Facts: SSG Seals competed against four other peer NCOs for battalion NCO of the Month. His display of outstanding professionalism, confidence, and knowledge led to his selection.**

**PART III - SUMMARY OF COUNSELING**
**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Reviewed performance on last board**
***o Congratulated him on his accomplishment***

**o Career implications:**

***o Discussed how today's performance reflects on the platoon and the company***

***o Discussed how continued performance of this nature will place him above his peers***

***o Discussed how his performance can inspire his soldiers to appear and succeed in Soldier of the Month boards***

***o Discussed preparations for upcoming Brigade NCO of the Quarter Board***

OTHER INSTRUCTIONS
This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Notify PSG of intent to appear before Brigade NCO of the Quarter Board on 13 June 03***

***o Prepare board appearance packet***

***o Set up study schedule, considering that the board is only two months away***

- ***one hour each day after duty hours***
- ***one four-hour block one day of the weekend***

***o Ensure Class A uniform is ready for two weeks prior to board; PSG will inspect***

***o one week prior to board, become familiar with current events and stay abreast of events up to board date***

***o Assessment dates: on or about 09 May 03, and 13 June 03***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Tommy Seals*** Date: ***11 Apr 03***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Assist him in obtaining any study materials as needed; be on time and prepared for each study session; Review packet for completion and forward it to the board administrator; obtain available information on areas to be covered by board members.***

Signature of Counselor: ***Peter Nash*** Date: ***11 Apr 03***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessments done on: 9 May 03 PN TS***

***15 April 03, Packet submitted to board administrator, and obtained list of topics to be covered by board members; conducted all weekend study sessions in PSG office as scheduled; after-work study sessions conducted as scheduled***

***SSG Nash is selected runner-up Brigade NCO of the Quarter.***

Counselor: ***Peter Nash*** Individual Counseled: ***Tommy Seals*** Date of Assessment: ***13June 03***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**SH 5-PE Situation #3 Leadership Development with 4th Squad Leader**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Dailey, Ernest S.** | **SSG/E-6** | **450-35-4122** | **17 MAR 03** |

| Organization | Name and Title of Counselor |
|---|---|
| **Your Unit** | **SFC Olsen, James J. / Platoon Sergeant** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**Performance and Professional Growth: You are being counseled to improve your leadership and supervisory skills.**

**Facts: Observations reveal that 4th Squad maintenance is a problem.**

**PART III - SUMMARY OF COUNSELING**
**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**Discussed SSG Dailey's self-assessed strengths and weaknesses:**

- ***Strengths:***
  - ***very good interpersonal skills-has earned the trust and respect of his soldiers***
  - ***high level of technical competence and expertise; understands how to use and maintain all equipment and can accomplish assigned tasks and functions***

- ***Weaknesses:***
  - ***could improve communication, i.e., expressing thoughts and ideas to soldier; needs to be better at giving clear, concise instructions***

**Discussed observed strengths and weaknesses:**

- ***Strengths:***
  - ***inspires loyalty; knows his job and his soldiers***

- ***Weaknesses:***
  - ***needs to improve on recognizing and appropriately addressing poor performance***
  - ***could better articulate expectations***
  - ***soldiers do not always understand orders or guidance***

**Discussed Maintenance record and standards:**

- ***having more dead-lined vehicles than the other three squads combined severely impacts our ability to accomplish our mission***

- ***It is understandable to occasionally have a vehicle with major maintenance problems, but the number of problem vehicles you have is unacceptable***

- ***Ninety percent of your vehicles must be mission-ready at all times.***

OTHER INSTRUCTIONS
This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o simplify orders and ensure requirements are understood before execution; have soldiers back-brief instructions to ensure they understand***

***o counsel each squad member within the next 30 days about meeting maintenance standards***

***o supervise maintenance time more closely, until good performance is consistent***

***o conduct weekly maintenance training***

***o meet the standard of ninety percent of vehicles mission ready within sixty days***

***o Assessments dates: on or about 18 April 03, 16 May, and 18 June***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Ernest S. Dailey*** Date: ***17 Mar 03***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Mentor SSG Dailey and develop leadership and supervisor skills by providing him the benefit of my experience; observe and make recommendations during maintenance days***

Signature of Counselor: ***James J. Olsen*** Date: ***17 Mar 03***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessments done on: date: 18 April Initials: JJO / ESD date: 16 May Initials: JJO / ESD***

***18 April – SSG Dailey has improved on simplifying his orders and instructions, and is executing a commendable plan for weekly maintenance training***

***16 May – 4th squad has met the standard for vehicle readiness. SSG Dailey is recognizing substandard performance, making corrections, and conducting counseling as necessary while maintaining the loyalty and respect of his squad members.***

Counselor: ***James J. Olsen*** Individual Counseled: ***Ernest S. Dailey*** Date of Assessment: ***18 Jun 03***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**SH 5-PE Situation #4, Mentoring the Services Section SGT Professional Growth Counseling**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Randolph, Robert X.** | **SSG** | **123-45-6789** | **6 JAN 03** |

| Organization | Name and Title of Counselor |
|---|---|
| **HHC, Any Unit, US Army** | **SFC Lester, Sylvester Q. / PSG** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**Professional Growth Counseling.**

**Facts: SSG Randolph was selected for promotion to SFC. This counseling will cover responsibilities and expectations for the next higher rank, as well as goal setting and mentoring for a position of greater responsibility.**

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Review of promotion procedures to SFC:**

- ***ANCOC scheduling, prerequisites, and successful completion***
- ***Conditional promotion***

**o Discuss new duty positions available:**

- ***PSG positions available in the Brigade***
- ***Motor SGT position in another BN at this duty station***
- ***May be put on levy and PCS to new duty station***

**o Responsibilities and expectations of a senior NCO:**

- ***Level of responsibility***
- ***Now eligible for Sensitive items inventory officer duty, Report of survey officer duty, Division/Installation SDNCO***
- ***Must maintain Physical Fitness level and set the example***
- ***Teaching, coaching and mentoring subordinate NCOs and junior officers***
- ***Must remain proficient in MOS duties as well as Common Tasks in skill levels 1- 4***
- ***More writing and public speaking required as an SFC***
- ***Have to develop a greater understanding of the other battlefield operating systems***
- ***Leadership self assessment for next higher grade***

**o New Professional Goals:**

- **Short Term Goals:** ***Become proficient in MOS and common task duties at skill level 4, Prepare for ANCOC attendance, Attend Maintenance Supervisors course.***

**Long Term Goals:** ***Continue civilian education-work on Associates Degree in Human Resource Management; Prepare for promotion to positions of greater responsibility in the Army-MSG and SGM, plans to be a BN CSM***

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Access NCOES website for information on ANCOC attendance***
***o Review packing list and ensure that all required items are on hand and serviceable.***
***o Obtain and read any recommended prerequisite materials to prepare for ANCOC.***
***o Prepare to take NCOES diagnostic APFT within 30 days and prepare to conduct and instruct PT at ANCOC.***
***o Provide spouse with information about new responsibilities that go with promotion to SFC and the upcoming ANCOC attendance***
***o Begin studying the 63B MOS soldiers manual and the SMCT to familiarize yourself with the skill level 4 tasks that you are now responsible for knowing***
***o Continue to take college classes toward earning Associates degree-look for opportunities during everyday duty to use those newly acquired skills***
***o Conduct leadership self-assessment aimed at skills required as a new senior NCO with FM 22-100, Appendix B, and be prepared to discuss during next quarterly performance and professional growth counseling.***
***o In support of the long-term goal of promotion to MSG and SGM/CSM, review the 63B professional development model in DA PAM 600-25 to come up with a realistic future plan.***

***o Assessment date: On or about 6 MAR 03***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above

Individual counseled remarks:

Signature of Individual Counseled: *Robert X. Randolph* Date: *6 JAN 03* .

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Allow time to prepare for ANCOC attendance; Discuss possible reassignment to positions of greater responsibility with 1SG, Keep informed of 1SG's advice and guidance, Ensure that SSG Randolph is put onto the appropriate duty rosters for an SFC, Ensure that SSG Randolph is prepared physically for ANCOC attendance, Conduct leadership assessment on SSG Randolph with FM 22-100, App. B to determine weaknesses and strengths as a new senior NCO, prepare to discuss assessment at next quarterly counseling, Schedule/administer NCOES diagnostic APFT; Follow-up check on individual skill level 4 MOS and common task study program and status of college education improvement plan, teach coach and mentor this new senior NCO.***

Signature of Counselor: *Sylvester Q Lester* Date: *6 JAN 03* .

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***03FEB 03, SSG Randolph took his ANCOC NCOES diagnostic APFT and easily passed with a score of 253 points, he taped at just 1.5% under his maximum allowed body fat and I informed him of his responsibility to report to ANCOC within the requirements of AR 600-9.***

***01 MAR 03, The newly promoted SFC Randolph will go to ANCOC next month and then be assigned as the Motor SGT in another BN in our BDE. I will continue to be his mentor and will assist him in making a smooth transition into that new duty position.***

Counselor: *Sylvester Q. Lester* Individual Counseled: *Robert X. Randolph* Date of Assessment: *6 MAR 03* .

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

## SH 5-PE Situation #5, Developmental Counseling by PL – Initial DA Form 2166-8-1

NCO COUNSELING CHECKLIST/RECORD
For use of this form, see AR 623-205; the proponent agency is ODCSPER.

| NAME OF RATED NCO | RANK | DUTY POSITION | UNIT |
|---|---|---|---|
| Mentor, Robert X. | SFC | 1st Platoon SGT | A Co., Any Unit APO AE |

PURPOSE: The primary purpose of counseling is to improve performance and to professionally develop the rated NCO. The best counseling is always looking forward. It does not dwell on the past and on what was done, rather on the future and what can be done better.
Counsel the end of the rating period is too late since there is no time to improve before evaluation

RULES:
1. Face-to-face performance counseling is mandatory for all Noncommissioned Officers
2. This form is for use along with a working copy of the NCO-ER for conducting NCO performance counseling and recording counseling content and dates. Its use is mandatory for counseling all NCOs, CPL through CSM.
3. Active Component. Initial counseling must be conducted within the first 30 days of each rating period, and at least quarterly thereafter. Reserve Components.(ARNG, USAR). Counseling must be conducted at least semiannually. There is no mandatory counseling at the end of the ra ng period.

**CHECKIST – FIRST COUNSELING SESSION AT THE BEGINNING OF THE RATING PERIOD**

**PREPARATION**
1. Schedule counseling session, notify rated NCO.
2. Get copy of last duty description used for rated NCO's duty position, a blank copy of the NCO-ER, and the names of the new rating chain.
3. Update duty description (see page 2).
4. Fill out rating chain and duty description on working copy of NCO-ER, Parts II and III.
5. Read each of the values/responsibilities in part IV of NCO-ER and the expanded definitions and examples on page 3 and 4 of this form
6. Think how each value and responsibility in Part IV of NCO-ER applies to the rated NCO and his/her duty position.
Note: Leadership and training may be more difficult to apply than the other values/responsibilities when the rated NCO has no subordinates. Leadership is simply influencing others in the accomplishment of the mission and that can include peers and superiors. It also can be applied directly to additional duties and other areas of Army community life. Individual training is the responsibility of all NCOs whether or not there are subordinates. Every NCO knows something that can be taught to others and should Be involved in some way in a training program.
7. Decide what you consider necessary for success (a meets standards rating) for each value/responsibility. Use the examples listed on page 3 and 4 of this form as a guide in developing your own standards for success. Some may apply exactly, but you may have to change them or develop new ones that apply to your situation. Be specific so the rated NCO will know what is expected.
8. Make notes in blank spaces in Part IV of NCO-ER to help when

**COUNSELING**
1. Make sure the rated NCO knows rating chain.
2. Show rated NCO the draft duty description on your working copy of the NCO-ER. Explain all parts. If rated NCO performed in position before, ask for any ideas to make duty description better
3. Discuss the meaning of each value/responsibility in part IV of NCO-ER. Use the trigger words on the NCO-ER, and the expanded definitions on pages 3 and 4 of this form to help.
4. Explain how each value/responsibility applies to the specific duty position by showing or telling your standards for success (a meets standards rating). Use examples on pages 3 and 4 of this form as a start point. Be specific so the rated NCO really knows what's expected.
5. When possible, give specific examples of excellence that could apply. This gives the rated NCO something special to strive for. Remember that only a few achieve real excellence and that real excellence always includes specific results and often Includes accomplishments of subordinates.
6. Give rated NCO the opportunity to ask questions and make Suggestions.

**BEFORE THE NCO DEPARTS THE COUNSELING SESSION**
1. Record counseling date on this form.
2. Write any additional key points that come up during the counseling session on this form.

**CHECKIST – LATER COUNSELING SESSION DURING THE RATING PERIOD**

PREPARATION
1. Schedule counseling session, notify rated NCO, and tell him/her to come prepared to discuss what has been accomplished in each value/responsibility area.
2. Look at working copy of NCO-ER you used during last counseling session.
3. Read and update duty description. Especially note the area of special emphasis; the priorities may have changed.
4. Read again, each of the values/responsibilities in Part IV of NCO-ER and the expanded definitions and examples on pages 3 and 4 of this form; then think again, about your standards for success.
5. Look over the notes you wrote down on page 2 of this form about the last counseling session.
6. Think about what the rated NCO has done so far during this rating period (specifically, observed action, demonstrated behavior, and results).
7. For each value/responsibility area, answer three questions: First, what as happened in response to any discussion you had during the last counseling session? Second, what has been done well?; and third, what could be done better?
8. Make notes in blank spaces in Part IV of NCO-ER to help focus when counseling. (Use new NCO-ER if old one is full from last counseling session.)
9. Write key points to be made during the counseling session on this form.
10. Review Developmental Counseling in FM 22-100, appendix C

**DA FORM 2166-8-1, Oct 2001** **REPLACES DA FORM 2166-7-1, SEP 87, WHICH IS OBSOLETE**

COUNSELING

1. Go over each part of the duty description with rated NCO. Discuss any changes, especially to the area of special emphasis.
2. Tell rated NCO how he / she is doing. Use your success standards as a guide for the discussion (the examples on pages 3 and 4 may help). First, for each value/responsibility, talk about what has happened in response to any discussion you had during the last counseling session (remember, observed action, demonstrated behavior and results). Second, talk about what was done well. Third, talk about how to do better. The goal is to get all NCOs to be successful and meet standards.
3. When possible, give examples of excellence that could apply. This gives the rated NCO something to strive for, REMEMBER, EXCELLENCE IS SPECIAL, ONLY A FEW ACHIEVE IT! Excellence includes results and often involves subordinates.
4. Ask rated NCO for ideas, examples and opinions on what has been done so far and what can be done better. (This step can be done first or last).

BEFORE THE NCO DEPARTS THE COUNSELING SESSION

1. Record counseling date on this form.
2. Write any additional key points that came up during the counseling session on this form.
3. Show key points to rated NCO and get his/her initials.
4. Save NCO-ER with this checklist for next counseling session. (Notes should make record NCO-ER preparation easy at the end of the rating period.

INITIAL

*Discussed duties and responsibilities as PSG and my expectations; Discussed responsibility for the overall readiness of his soldiers, and the need to adapt any situation in order to maintain a high state of readiness; As a minimum, this includes ensuring SRP folders and Family Care Plans are up-to-date, that maintenance of equipment and vehicles is done weekly , and that platoon members are current on weapons qualifications and APFT qualifications. Tasked him to review the training records and ensure the platoon is proficient in its battle drills, weapons qualifications are current, as well as APFT scores. Discussed his responsibility to mentor the squad leaders, and develop their leadership skills, and mentor the PL as well. Established that there must be teamwork and two-way communication between the PSG an PL ; Discussed appointed duties: PSG will be the new UPL, and Company EOR.*

DATE RATED NCO'S INITIALS

LATER

DATE RATED NCO'S INITIALS

LATER

DATE RATED NCO'S INITIALS

LATER

DATE RATED NCO'S INITIALS

**DUTY DESCRIPTION (PART III of NCO-ER)**

The duty description is essential to performance counseling and evaluation. It is used during the first counseling session to tell rated NCO what the duties are and what needs to be emphasized. It may change somewhat during the rating period. It is used at the end of the rating period to record what was important about the duties.

The five elements of the duty description:

**1&2. Principal Duty Title and Duty MOS Code.** Enter principal duty title and DMOS that most accurately reflects actual duties performed.

**3. Daily Duties and Scope.** This portion should address the most important routine duties and responsibilities. Ideally, this should include number of people supervised, equipment, facilities, and dollars involved and any other routine duties and responsibilities critical to mission accomplishment.

4. **Area of Special Emphasis**. This portion is most likely to change somewhat during the rating period. For the first Counseling session, it includes those items that require top priority effort at least for the first part of the upcoming rating period. At the end of the rating period, it should include the most Important items that applied at any time during the rating period (examples are preparation for deployment, combined arms drills training for FTX, preparation for NTC rotation, revision of Battalion maintenance SOP, training for tank table qualification, ITEP and company AMTP readiness, related tasks cross-training, reserve components annual training support (AT) and SIDPERS acceptance rate).

**5. Appointed Duties.** This portion should include those duties that are appointed and are not normally associated with the duty description.

DA FORM 2166-8-1, OCT 2001

NCO EVALUATION REPORT
For use of this form, see AR 623-205; the proponent agency is ODSCPER

***SEE PRIVACY ACT STATEMENT***
*IN AR 623-205, APPENDIX C.*

**RT I-ADMINISTRATIVE DATA**

| a. NAME *(Last, First, Middle Initial)* | b. SSN | c. RANK | d. DATE OF RANK | e. PMOSC |
|---|---|---|---|---|
| **MENTOR, ROBERT X.** | **123-45-6789** | **SFC** | **020501** | **31W4XD9** |

f. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND
**Company A, 35th Signal Battalion, APO AE 09123, FORSCOM**

g. REASON FOR SUBMISSION

| h. PERIOD COVERED FROM YYYY MM | THRU YYYY MM | i. RATED MONTHS | j. NON-RATED CODES | k. NO. OF ENCL | l. RATED NCO COPY *(Check one and Date)* | | m. PSC Initials | n. CMD CODE | o. PSB CODE |
|---|---|---|---|---|---|---|---|---|---|
| **2002 08** | | | | | 1. Given to NCO | *Date* | | | |
| | | | | | 2. Forwarded to NCO | | | | |

**PART II-AUTHENTICATION**

| a. NAME OF RATER *(Last, First, Middle Initial)* | SSN | SIGNATURE |
|---|---|---|
| **Green, Truman L.** | **478-17-0275** | |

RANK, PMOS/BRANCH, ORGANIZATION, DUTY ASSIGNMENT
**2LT, SC, Company A, 35th Signal Battalion Platoon Leader**
DATE

| b. NAME OF SENIOR RATER *(Last, First, Middle Initial)* | SSN | SIGNATURE |
|---|---|---|
| **Cheatham, Matthew J.** | **257-96-0333** | |

RANK, PMOS/BRANCH, ORGANIZATION, DUTY ASSIGNMENT
**CPT, SC, Company A, 35th Signal Battalion Commander**
DATE

c. RATED NCO: I understand my signature does not constitute agreement or disagreement with the evaluations of the rater and senior rater. I further understand my signature verifies that the administrative data in Part II, the duty description to include the counseling dates in Part III, and the APFT and height/weight entries in Part Ivc are correct. I have seen the report completed through Part V, except Parts Iid and Iie. I am aware of the appeals process of AR 623-205.
SIGNATURE DATE

| d. NAME OF SENIOR RATER *(Last, First, Middle Initial)* | SSN | SIGNATURE |
|---|---|---|
| **Forrest, Jenny A.** | **357-91-2468** | |

RANK, PMOS/BRANCH, ORGANIZATION, DUTY ASSIGNMENT
**LTC, SC, 35th Signal Battalion Commander**
DATE

e. ☐ CONCUR WITH RATER AND SENIOR RATER EVALUATIONS ☐ NONCONCUR WITH RATER AND/OR SENIOR RATER EVAL ***(See attached comments)***

**PART III-DUTY DESCRIPTION *(Rater)***

| a. PRINCIPAL DUTY TITLE | b. DUTY MOSC |
|---|---|
| **Platoon Sergeant** | **31W4O** |

c. DAILY DUTIES AND SCOPE *(To include, as appropriate, people, equipment, facilities and dollars)*
**Platoon Sergeant in a tactical signal company; directly supervises four NCOs; responsible for the training, health, welfare, and overall readiness of 40 soldiers; oversees the maintenance of three tactical vehicles and associated tactical satellite equipment; responsible for the conduct of Sergeants' Time Training and Common Task Training/Testing; primary hand receipt holder for tactical and automation equipment valued in excess of 600,000 dollars.**

d. AREAS OF SPECIAL EMPHASIS **JRTC preparation, Platoon Physical Fitness, Deployment Readiness**
**Rater: Truman.Green@us.army.mil; S/R: Matthew.Cheatham1@us.army.mil; S/R: jenny.forrest@us.army.mil**

e. APPOINTED DUTIES
**Unit Prevention Leader, Equal Opportunity Representative**

| f. COUNSELING DATES | INITIAL | LATER | LATER | LATER |
|---|---|---|---|---|
| | ***020906*** | | | |

**PART IV-ARMY VALUES/ATTRIBUTES/SKILLS/ACTIONS *(Rater)***

**a. ARMY VALUES. Check either "YES" or "NO".** ***Comments are mandatory for "No" entries; optional for "Yes" entries.***

**V A L U E S**
Loyalty
Duty
Respect
Selfless-Service
Honor
Integrity
Personal Courage

| | YES | NO |
|---|---|---|
| 1. LOYALTY: Bears true faith and allegiance to the U.S. Constitution, the Army, the Unit, and other soldiers. | | |
| 2. DUTY: Fulfills their obligations. | | |
| 3. RESPECT/EO/EEO: Treats people as they should be treated. | | |
| 4. SELFLESS-SERVICE: Puts the welfare of the nation, the Army, and subordinates before their own. | | |
| 5. HONOR: Lives up to all the Army values. | | |
| 6. INTEGRITY: Does what is right – legally and morally. | | |
| 7. PERSONAL COURAGE: Faces fear, danger, or adversity (physical and moral) | | |

Bullet comments
*o Put the goals of the unit ahead of personal gain*
*o Be extremely dedicated to mission accomplishment and the welfare of his soldiers*
*o Always demonstrate the highest moral standards and level of integrity*

| RATED NCO'S NAME *(Last, First Middle Initial)* | SSN | THRU DATE |
|---|---|---|
| **MENTOR, ROBERT X.** | **123-45-6789** | |

**PART IV (Rater) – VALUES/RESPONSIBILITIES**

*Specific bullet examples of "EXCELLENCE" or "NEEDS IMPROVEMENT" are mandatory*
*Specific bullet examples of "SUCCESS" are optional*

| | |
|---|---|
| b. COMPETENCE<br>o Duty proficiency; MOS competency<br>o Technical & tactical; knowledge, skills, and abilities<br>o Sound judgment<br>o Seeking self-improvement; always learning<br>o Accomplishing tasks to the fullest capacity; committed to excellence<br>EXCELLENCE *(Exceeds std)* ☐ SUCCESS *(Meets std)* ☐ NEEDS IMPROVEMENT *(Some)* ☐ *(Much)* ☐ | *o Foster significant improvement in platoon tactical efficiency ratings*<br><br>*o Stay up-to-date in applicable technology thru self study* |
| c. PHYSICAL FITNESS & MIITARY BEARING<br>o Mental and physical toughness<br>o Endurance and stamina to go the distance<br>o Displaying confidence and enthusiasm; looks like a soldier<br>**EXCELLENCE** *(Exceeds std)* ☐ **SUCCESS** *(Meets std)* ☐ **NEEDS IMPROVEMENT** *(Some)* ☐ *(Much)* ☐ | APFT / HEIGHT/WEIGHT<br>*o Earn Army Physical Fitness Badge*<br><br>*o Always present a crisp, soldierly appearance* |
| d. LEADERSHIP<br>o Mission first<br>o Genuine concern for soldiers<br>o Instilling the Spirit to achieve and win<br>o Setting the example; Be, Know, Do<br>**EXCELLENCE** *(Exceeds std)* ☐ **SUCCESS** *(Meets std)* ☐ **NEEDS IMPROVEMENT** *(Some)* ☐ *(Much)* ☐ | *o Coach and mentor your squad leaders in personal and professional development to develop a cohesive team*<br><br>*o Mentor the platoon leader, helping enable him to establish effective communication with soldiers and lead from the front* |
| e. TRAINING<br>o Individual and team<br>o Mission focused, performance oriented<br>o Teaching soldiers how; common tasks, duty-related skills<br>o Sharing knowledge and experience to fight, survive and win<br>**EXCELLENCE** *(Exceeds std)* ☐ **SUCCESS** *(Meets std)* ☐ **NEEDS IMPROVEMENT** *(Some)* ☐ *(Much)* ☐ | *o Develop and execute solid training plans for Sergeants' Time training*<br><br>*o Institute a PT program, to improve the platoon APFT average score* |
| f. RESPONSIBILITY & ACCOUNTABILITY<br>o Care and maintenance of equipment/facilities<br>o Soldier and equipment safety<br>o Conservation of supplies and funds<br>o Encouraging soldiers to learn and grow<br>o Responsible for good, bad, right & wrong<br>**EXCELLENCE** *(Exceeds std)* ☐ **SUCCESS** *(Meets std)* ☐ **NEEDS IMPROVEMENT** *(Some)* ☐ *(Much)* ☐ | *o Maintain accurate and complete UPL documents*<br><br>*o Participate proactively in EO functions such as ethnic observances* |

**PART V – OVERALL PERFORMANCE AND POTENTIAL**

| | |
|---|---|
| a. RATER: Overall potential for promotion and/or service in positions of greater responsibility.<br>AMONG THE BEST ☐ FULLY CAPABLE ☐ MARGINAL ☐ | e. SENIOR RATER BULLET COMMENTS |
| b. RATER: List 3 positions in which the rated NCO could best serve the Army at his/her Current or next higher grade.<br>_____<br>_____<br>_____ | |
| c. SENIOR RATER. Overall performance ☐ ☐ ☐ ■ ☐ ■ ☐<br>1 2 3 4 5<br>Successful Fair Poor | d. SENIOR RATER. Overall potential for promotion and/or service in positions of greater responsibility. ☐ ☐ ☐ ■ ☐ ■ ☐<br>1 2 3 4 5<br>Successful Fair Poor |

***DA FORM 2166-8, OCT 2001*** USAPA V1.01

**SH 5-PE Situation #5, Developmental Counseling by PL – Final DA Form 4856**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Mentor, Robert X.** | **SFC** | **123-45-6789** | **6 SEP 02** |

| Organization | Name and Title of Counselor |
|---|---|
| **1st Plt, A Co., Any Unit, US Army** | **2LT Green, Truman L./ Plt Ldr** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**Performance and Professional Growth Counseling.**

**Facts: SFC Mentor is receiving his initial performance and professional growth counseling after I was assigned as his new supervisor/rater. This is also SFC Mentor's initial NCOER counseling in conjunction with the DA Forms 2166-8-1 and 2166-8.**

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Review duty description as PSG:**

- ***Agreed on duty description, acknowledged that it may change later during the rating period.***
- ***Discussed the team relationship between PSG and PL and the need for two-way communication between them.***
- ***Discussed maintaining, training, leading, caring, and adapting***

**o Discuss the meaning of values and responsibilities:**

- ***Example bullets on DA 2166-8 for success or excellence in each value and responsibility area***
- ***Discussed how values relate to PSG position***

**o Areas of special emphasis and appointed duties:**

- ***Prepare platoon for JRTC rotation in 5 months***
- ***Work on leader development with squad leaders***
- ***Act as mentor for PL***
- ***Appointed Duty: UPL; Company EOR***

**o Short Term Goals:** ***Prepare Plt for safe successful JRTC rotation; Prepare for MSG promotion board; mentor and develop PL to be a quality Army officer.***

**o Long Term Goals:** ***Continue civilian education-work on Bachelors degree in Human Resource Management; Prepare for promotion to 1SG and a position of greater responsibility; plans to be a BN CSM in 5 years.***

**o Leadership self-assessment:** ***Will conduct self-assessment this quarter and prepare to talk about results during next quarterly counseling as strengths or weaknesses.***

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Will work at developing team relationship with PL***
***o Keep Pl informed on all actions executed or considered in regards to Plt operations.***
***o Prepare Plt for JRTC rotation by:***
***o Check SRP packets to ensure that all Plt soldiers are ready to deploy.***
***o Work with Pl to schedule pre-deployment training***
***o Inspect squads and equipment for readiness and serviceability.***
***o Have squad leaders conduct leadership self-assessment and follow-up with developmental counseling***
***o Teach, coach and mentor PL***
***o Continue to take college classes toward earning Bachelors degree-look for opportunities during everyday duty to use those newly acquired skills***
***o Conduct leadership self-assessment aimed at skills required as a PSG with FM 22-100, Appendix B, and be prepared to discuss during next quarterly performance and professional growth counseling.***
***o In support of the long-term goal of promotion to MSG/1SG, review the MOS professional development model in DA PAM 600-25 to come up with a realistic future plan.***

***o Assessment date: On or about 6 OCT, 6 NOV, and 6 DEC.***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above

Individual counseled remarks:

Signature of Individual Counseled: *Robert X. Mentor* Date: *6 SEP 02* .

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Work at developing team relationship with PSG; Will be receptive to teaching coaching and mentoring from PSG, Keep informed of Commanders guidance, Work with PSG to get Plt ready for successful JRTC deployment, Conduct leadership assessment on SFC Mentor with FM 22-100, App. B to determine weaknesses and strengths as a new senior NCO, prepare to discuss assessment at next quarterly counseling, Follow-up check on status of college education improvement plan.***

Signature of Counselor: *Truman L. Green* Date: *6 SEP 02* .

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

Counselor: _____ Individual Counseled: _____ Date of Assessment:_____.

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**This Appendix Contains**

This appendix contains the items listed in this table--

| Title/Synopsis | Pages |
|---|---|
| SH-1, Advance Sheet | SH-1-1 thru SH-1-2 |
| SH-2, Student Home Assignment/Solution | SH-2-1 thru SH-2-4 |
| SH-3, Observer's Worksheet (Developmental Counseling video) | SH-3-1 thru SH-3-3 |
| SH-4, Observer's Worksheet (Developmental Counseling video solution sheet) | SH-4-1 thru SH-4-3 |
| SH-5, Role-play situations solution sheets | SH-5-1 thru SH-5-24 |
| SH-6, Extract from DA PAM 600-25 | SH-6-1 thru SH-6-15 |
| SH-7, Developmental Counseling Form | SH-7-1 thru SH-7-3 |
| SH-8, Classification and Rating Exercise Solution | SH-8-1 thru SH-8-3 |
| SH-9, Role-Play Situations | SH-9-1 thru SH-9-12 |
| SH-10, Blank Observer's Worksheet for PE-2, 1 thru 5 situations | SH-10-1 thru SH-10-3 |
| SH-11, Extract from FM 7-22.7, Chapter 5 | SH 11-1 thru SH 11-20 |

# Student Handout 1

**Advance Sheet**

**Lesson Hours**

This lesson consists of 2 hours and 10 minutes of small group instruction, and 2 hours and 40 minutes of practical exercises.

**Overview**

You may supervise a platoon and/or unit counseling program by, describing an effective unit counseling program; describing how to assess, develop, and mentor subordinate leaders; and conducting subordinate-centered developmental counseling sessions. You will develop a Developmental Counseling Form during the session and produce a plan of action focusing the subordinate's actions on individual, platoon and or unit goal accomplishments, IAW FM 22-100 and FM 7-22.7.

**Learning Objective**

Terminal Learning Objective (TLO).

| | |
|---|---|
| **Action:** | Counsel Subordinates. |
| **Conditions:** | In a classroom environment, given FM 22-100 and FM 7-22.7, and the role of a platoon sergeant or staff NCO in a unit or organization. |
| **Standards:** | Counseled subordinate by—<br>• Describing an effective unit-counseling program.<br>• Assessing leadership actions at developmental counseling and mentorship of the subordinate leaders.<br>• Demonstrating the ability to develop subordinate leaders by using procedures in practical exercise situations.<br>IAW FM 22-100 and FM 7-22.7. |

**ELO** A Describe an effective unit counseling program.
ELO B Assess leadership actions at developmental counseling and the mentorship of subordinate leaders.
ELO C Demonstrate the ability to develop subordinate leaders by using procedures in practical exercise situations.

**Assignment**

Read FM 22-100, Chapters 2 and 5 and Appendixes B and C.
Read FM 7-22.7, Chapter 5 (SH-11).
Read DA PAM 600-25 extract (SH-6).
Complete the Student Home Assignment prior to the class.

**Additional Subject Area Resources**

None

**Bring to Class**

- All reference material.
- Pen or pencil.
- Writing paper.
- Completed Student Note Taking Guide.

## Student Handout 2

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This Student Handout contains 12 questions on Counseling Subordinates. Give this handout to the students as a home assignment for them to complete prior to PE-1.

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## Counsel Subordinates

1. Describe the role of a leader in developing subordinates through counseling.

2. Define counseling.

3. Describe “subordinate-centered” communications.

4. Describe the three approaches to counseling.

5. List four qualities that leaders must demonstrate in order to counsel effectively.

6. Describe what cultural awareness means.

7. List, describe, and briefly state the importance of three leader-counseling skills.

8. List four common counseling mistakes.

9. Identify five guidelines to improving counseling that you think are important.

10. Describe the two categories of counseling and give examples within each category.

## Counsel Subordinates

## Student Home Assignment, (cont)

11. List and describe the four components of the counseling session.

12. List the four stages of the counseling process.

**Counsel Subordinates**
**Student Home Assignment Solution**
All answers are from FM 22-100

1. Describe the role of a leader in developing subordinates through counseling.

   Answer: p C1, para C-7.

2. Define Counseling.

   Answer: p 4-5, para 4-14.

3. Describe “subordinate centered counseling” communication.

   Answer: p C-1, para C-5 and p C-14, para C-69.

4. Describe the three approaches to counseling.

   Answer: p C-10, para C-46 thru C-52.

5. List four qualities that leaders must demonstrate in order to counsel effectively.

   Answer: p C-2, para C-9 thru C-14.

6. Describe what cultural awareness means.

   Answer: p C-2, para C-1.

7. List and describe three leader counseling skills.

   Answer: p C-3, para C-17 thru C-21.

8. List four common counseling mistakes.

   Answer: p C-4, para C-23.

9. Identify five guidelines to improving counseling that you think are important.

   Answer: p C-5, fig C-2.

10. Describe the two categories of counseling and give examples within each category.

    Answer: p C-7 and C-9.

11. List the four basic components of the counseling session.

    Answer: p C-13 and C-14, para C-67.

12. List the four stages of the counseling process.

    Answer: p C-12, para C-55.

## Student Handout 3

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This Student Handout is an Observer's Checklist to evaluate the Developmental Counseling video, segment 6.

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**Instructions:** Rate the counselor on the items below using the scale provided.

| 0 | 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|---|
| **Not at all** | **Poor** | **Marginal** | **Satisfactory** | **Very good** | **Excellent** |

***1. Components of the Counseling Session:***

**A. Open the session.** _____
Stated the purpose of the session and established a subordinate-centered tone.

**B. Discuss the issue.** _____
Developed a mutual understanding of the situation.

**C. Develop a plan of action**. _____
Jointly identified actions to solve problem, improve performance, or achieve goals.

**D. Close the session.** _____
Summarized key points, checked acceptance of plan of action, established follow-up measures.

***2. Leader Counseling Skills***

**A. Active Listening** _____
Gave full attention to subordinate, maintained appropriate eye contact and made appropriate gestures.

**B. Responding** _____
Checked understanding by paraphrasing or summarizing.

**C. Questioning** _____
Asked open-ended questions to gain information or provoke thought.

***Total Score: .....*** _____

***3. Comments should be provided on each component of the counseling session and leader counseling skills listed on the front of this form.***

Overall strengths of the counseling session:

Areas where improvement is needed:

Name of Counselor: _____ Signature: _____ Date: _____

Name of Observer: _____ Signature: _____ Date: _____

## Student Handout 4

This Student Handout is a solution to the Observer's Checklist Worksheet, use this handout to stimulate discussion after the Developmental Counseling video is complete.

Observer's Worksheet **SOLUTION**

Developmental Counseling Video
Segment #6

**Instructions:** Rate the counselor on the items below using the scale provided.

| 0 | 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|---|
| **Not at all** | **Poor** | **Marginal** | **Satisfactory** | **Very good** | **Excellent** |

***1. Components of the Counseling Session:***

**A. Open the session.** _____2_____
Stated the purpose of the session and established a subordinate-centered tone.

**B. Discuss the issue.** _____4_____
Developed a mutual understanding of the situation.

**C. Develop a plan of action**. _____4_____
Jointly identified actions to solve problem, improve performance, or achieve goals.

**D. Close the session.** _____4_____
Summarized key points, checked acceptance of plan of action, established follow-up measures.

***2. Leader Counseling Skills***

**A. Active Listening.** _____3_____
Gave full attention to subordinate, maintained appropriate eye contact and made appropriate gestures.

**B. Responding.** _____3_____
Checked understanding by paraphrasing or summarizing.

**C. Questioning.** _____3_____
Asked open-ended questions to gain information or provoke thought.

***Total Score: .....*** _____23____

***3. Provide comments on each component of the counseling session and leader counseling skills listed on the front side of the form.***

Counseling Session:
1.A. Open the session. Tone: Defensive. Because SSG Rovero was late, CW2 Lang's irritation put him on the defensive immediately.

Purpose: Not clearly stated. Although CW2 Lang prepared the session in advance, he should have restated the purpose of the counseling.

1.B. Discuss the issue. The two developed a mutual understanding of the situation.

1.C. Develop a plan of action. With some discussion, develop a plan of action together for solving the problem and achieving goals.

1.D. Close the session. CW2 Lang gave full ownership of the plan of action to SSG Rovero. "I'll be around if you need me" does not necessarily define the leader's responsibilities for ensuring success of the plan of action, but SSG Rovero seemed to like having the responsibility of working his plan.

Counseling Skills:
2.A. Active listening. Counselor remained focused on the subject.

2.B. Counselor responded to statements with questions that prodded SSG Rovero into deeper exploration of the problem.

2.C. Questioning. Although the questions were not standard open-ended questions, they were leading questions

**Overall strengths of the counseling session:**

Identify the problem areas and developed a plan of action together.
Counselor complimented NCO on his strengths.
Session was mainly subordinate-centered

**Areas of improvement:**
Opening – counselor should not have stressed the tardiness and calmly opened the session properly.

Name of Counselor: _____ Signature: _____ Date: _____
Name of Observer: _____ Signature: _____ Date: _____

## Student Handout 5

This Student Handout contains 23 pages of solution sheets for PE-2, Situations 1 thru 5.

**The Platoon sergeant should note the following during his inspection of PFC Smith's counseling packet:**

Reception and Integration Counseling, dated 03 Sep 03:

Part II did not state Event-Oriented.

Four separate actions, noted in part IV, no event-oriented performance counseling session for superior performance.

Quarterly Performance/Professional Growth Counseling, dated 5 Dec 02:

No assessment dates identified in the plan of action.

Again there are at least three occasions, noted in part IV, where PFC Smith should have received an event-oriented performance counseling for superior performance.

Quarterly Performance/Professional Growth Counseling, dated 5 Mar 03:

Leader's Responsibilities should have included other responsibilities to support the plan of action.

At least one occasion, noted in part IV, where PFC Smith should have received an event-oriented performance counseling for superior performance.

Assessment date 6 May 03, noted no significant performance. This is not an acceptable entry. Leader should always indicate some performance during an assessment. Even if subordinate was on leave or otherwise absent from the leaders supervision.

You also should have noted that substandard performance counseling sessions were done in a timely manner, but superior performance counseling's were not at all. You should emphasize to SSG Dailey that he should counsel for specific examples of superior as well as substandard duty performance.

**SH 5, PE-1, Situation #1, PFC Smith's Reception and Integration Counseling**

## DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Smith, Joseph** | **PVT/E-2** | **123-45-6789** | **03 SEP 02** |

| Organization | Name and Title of Counselor |
|---|---|
| Your Unit | **SGT Lester, James. / Squad leader** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**This is your Reception and Integration Counseling. You are assigned to 4th squad, 1st Platoon.**

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Personal and Family Issues:**
- ***o Finances (PCS Entitlements, Leaves)***
- ***o SM is single with no dependants***

**o Discuss duty position, review job description, and unit specific responsibilities:**
- ***o Discuss duty position and job responsibilities***
- ***o Standards – obtaining and sustaining***
- ***o Deployments and Exercises***
- ***o Duty Rosters and Training Schedules***
- ***o Unit METL, Command Policies and SOPs***
- ***o Unit Physical Fitness Program***
- ***o Soldier Key Information***
- ***o Equipment Accountability and Maintenance***
  - ***o Hand Receipt***
  - ***o Command Maintenance***
- ***o Chain of Command/NCO Support Channel***
- ***o Alert/Recall Roster and Accountability***

**o Living in the Barracks:**
- ***o Discussed room standards and quality of life issues***

**o Personal and Organizational Goals:**
- ***o Unit Readiness***
- ***o Professional Development***
  - ***o Education (Civilian and Military)***
  - ***o Career Enhancing Opportunities (Soldier of the Month Board, Operator of the month)***
  - ***o Short and Long Term Goals***

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

EDITION OF JUN 85 IS OBSOLETE

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Review Unit METL and Command Policies by Monday, and SOPs by the end of next week.***

***o Prepare to take a diagnostic PT test within 30 days.***

***o Prepare to sign for equipment by 26 Sep 02.***

***o Know the chain of command and NCO support channel by the end of next week.***

***o Set up room IAW barracks SOP by Monday.***

***o Visit the education center to look into next semester's class schedule.***

***o In support of short-term goal of promotion to PFC, study appropriate level STP, enroll in the Army Correspondence Program, and be at appointed place of duty in the prescribed uniform at all times.***

***o In support of the long-term goal of promotion to SPC, work on weapon qualification, physical fitness, and military/civilian education.***

***o Study Army Regulations and Field Manuals for board appearance.***

***o Assessment dates on or about: 3 Oct 02, 3 Nov 02, and 3 Dec 02***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / ~~disagree~~ with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Joseph Smith*** Date: ***03 Sep 02***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Introduce to other squad members; Provide copy of METL and SOPs; Prepare hand receipt for equipment; Provide chain of command and NCO support channel information; Check room setup on Monday; Afford time to visit ed-center and assist with decision on classes; Provide a copy of appropriate STP & help with enrollment for ACCP; Provide a list of references to study for SOM board.***

Signature of Counselor: ***James T. Lester*** Date: ***03 Sep 02 .***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***ASSESSMENTS DONE ON: 3 OCT 02, JS JTL 4 NOV 02 JS JTL***

***On 7 Sep 02 PV2 Smith displayed good understanding of METL and SOPs, barracks area display IAW SOP. On 2 Oct 02 PV2 Smith took a diagnostic APFT and scored 220 with a score of 65 on the run.***

***4 Oct 02 PV2 Smith recited the entire NCO Support Channel during in ranks inspection conducted by the PSG.***
***7 Oct 02 PV2 Smith enrolled in the ACCP signing up for the basic operators course.***

***6 Nov 02 PV2 Smith's vehicle received a commendable rating during a unit level maintenance inspection. On 18 Nov 02 PV2 Smith did a super job in conducting section PT.***
***28 Nov 02 PV2 Smith fired expert 39 out of 40 with his assigned weapon.***

Counselor: ***James T. Lester*** Individual Counseled: ***Joseph Smith*** Date of Assessment: ***5 Dec 02 .***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**SH 5, PE-1, Situation #1, PFC Smith's First Substandard Performance Counseling**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Smith, Joseph** | **PVT/E-2** | **123-45-6789** | **15 OCT 02** |

| Organization | Name and Title of Counselor |
|---|---|
| Your Unit | **SGT Lester, James. / Squad leader** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

***Inability to maintain unit physical fitness goals by consistently falling out of unit runs.***

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

***o Falling out of unit runs (WHY?)***

***o Determined no identifiable reason for shortcoming***

***o Plans to improve level of fitness***

***o Individual fitness plan***
***o Assessment plan***

***o Consequences of continued substandard performance:***

***o Peer's perception***
***o Career implications***

***o Goal timeline to achieve and maintain unit standards:***

***o Tips to reach your goals***

***o Recommended facilities***

***o Gym, track, and pool***

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

EDITION OF JUN 85 IS OBSOLETE

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Develop individual physical fitness plan that will coincide with the unit's supplement physical fitness program IAW FM 21-20, Chapter 10.***

***o Submit individual physical fitness plan to SGT Lester NLT Friday, 18 Oct 02 for approval.***

***o Assess diet/nutrition (Reference: FM 21-20, Chapter 6).***

***o Solicit peers for encouragement and support.***

***o Assessment date: On or about 30 Nov 02***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / ~~disagree~~ with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Joseph Smith*** Date: ***15 Oct 02 .***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***o Provide soldier with FM 21-20 and review appropriate chapters that support his plan of action.***
***o Review soldier's individual fitness plan to verify that it supports his goals/objectives.***
***o Execute the plan by protecting after duty hours (within mission constraints).***
***o Encourage peers to provide moral and physical support.***
***o Conduct another diagnostic PT test within the next 3-4 weeks to verify progress/benefits of individual supplemental physical fitness program***

Signature of Counselor: ***James T. Lester*** Date: ***15 Oct 02 .***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***18 Nov 02 PV2 Smith took an additional diagnostic PT test to assess his individual PT program and increased his score on the run by 20 points***

***29 Nov 02 PV2 Smith has completed the last 5 unit runs without falling out. His individual fitness program has accomplished its intended purpose. Strongly recommend that PV2 Smith continue with his fitness program.***

Counselor: ***James T. Lester*** Individual Counseled: ***Joseph Smith*** Date of Assessment: ***29 Nov 02.***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**SH 5, PE-1, Situation #1, PFC Smith's 2nd Quarterly Performance and Professional Growth Counseling**

## DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Smith, Joseph** | **PVT/E-2** | **123-45-6789** | **05 DEC 02** |

| Organization | Name and Title of Counselor |
|---|---|
| **Your Unit** | **SGT Lester, James. / Squad leader** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**This is your Quarterly performance/professional growth counseling stressing preparation for deployment to JRTC.**

**PART III - SUMMARY OF COUNSELING**
**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Review and assess Reception and Integration Counseling.**

**o Physical Fitness**
- ***o Prepare for upcoming record APFT***

**o Potential for promotion**
- ***o Eligible for E-3 in February; I will recommend***

**o Preparation for upcoming JRTC deployment:**
- ***o JRTC Packing list/ Load Plan***
- ***o PMCS on all equipment going to JRTC (radios, vehicles…)***
- ***o Train-up for JRTC Rotation; study Rules of Engagement (ROE)***
- ***o Storage of POV (if applicable)***
- ***o Storage of personal belongings and equipment while at JRTC***
- ***o SRPs***
- ***o Deployment Briefings***
- ***o Plan for paying bills while deployed***
- ***o Flight schedule/ Manifesting***
- ***o Maintaining contact with family***

**o Short Term Goals:**
- ***o To appear before the SOM board and be selected as winner***

**o Long Term Goals:**
- ***o To complete Associate degree***
- ***o To have a successful and accident free JRTC Rotation***
- ***o Improve APFT score by 20 point***

OTHER INSTRUCTIONS
This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

EDITION OF JUN 85 IS OBSOLETE

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Develop a four week end. Fitness plan to support goal of increasing APFT by 20 pts and present to SGT Lester NLT 20 Dec 03.***

***o Enroll in a college class to work towards an associate degree as soon as possible.***

***o Obtain a copy of the packing list and conduct a joint inventory with supervisor NLT 21 February 03.***

***o PMCS all equipment being taken to JRTC two weeks prior to rail load ops above and beyond regular scheduled maintenance.***

***o Prepare for the train-up exercise for JRTC, to be conducted 6-17 Jan 03/ Study a copy of JRTC ROE.***

***o Take all valuables out of the car and secure the car in the BN designated area NLT 5 Mar 03.***

***o Inventory valuables and secure them inside wall lockers; supply sergeant will band the wall locker NLT 5 Mar 03.***

***o Go through the SRP at scheduled time and attend all deployment briefings.***

***o Develop plan to pay all bills prior to deployment and provide to SGT Lester NLT end of February.***

***o Be ready for manifesting with ID Card, ID Tags, and all personal equipment when the time comes.***

***o Inform family members that calling home will be limited by mid-February.***

***o Continue preparing to appear before the Soldier of the Month Board, scheduled for 14 February 03.***

***o Assessment dates:***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / ~~disagree~~ with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Joseph Smith*** Date: ***5 Dec 02 .***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Review your individual physical fitness plan to ensure it will help improve your APFT score; Protect your after duty hours (within mission constraints) to allow you time to attend college; Provide you with a copy of the JRTC packing list and conduct an inventory; Supervise PMCS on all equipment; Provide you with a schedule for the Train-Up Exercises for JRTC; Ensure you get a copy of the JRTC ROE; Coordinate time and date for you to secure your POV and personal valuables/items; Provide you with a copy of the flight schedule and SRP date/time; Submit recommendation for promotion and appearance before SOM board and conduct mock board.***

Signature of Counselor: ***James T. Lester*** Date: ***5 Dec 02 .***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessment done on: 6 Jan 03 JS/JTL 7 Feb 03 JS/JTL***

***10 Dec 02, PV2 Smith signed up for English Composition 101 with CTC. 16 Dec 02, PV2 Smith presented a well thought out PT plan that should support his goal of increasing APFT by 20 points. 18 Dec 02 PV2 Smith was selected as the "Military Appearance" standard setter during the 1SG's in rank inspection.***

***6-17 Jan 03, PV2 Smith's participation in the JRTC train-up proved to be invaluable as he exhibited tremendous knowledge of the overall mission and executed his responsibilities flawlessly. 5 Feb 02, due to PFC Smith's attention to detail and focus on maintenance, his vehicle experienced no breakdowns during rail load operations.***

***14 Feb 03, PFC Smith displayed exceptional professionalism and was selected overwhelmingly as the Battalion SOM. 25 Feb 03, PFC Smith provided copy of his bill payment plan and met all other pre-deployment requirements.***

Counselor: ***James T. Lester*** Individual Counseled: ***Joseph Smith*** Date of Assessment: ***5 Mar 03***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**SH 5, PE-1, Situation #1, PFC Smith's 3rd Quarterly Performance and Professional Growth Counseling**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Smith, Joseph** | **PFC/E-3** | **123-45-6789** | **5 MAR 03** |

| Organization | Name and Title of Counselor |
|---|---|
| **Your Unit** | **SGT Lester, James. / Squad leader** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**This is your Quarterly performance/professional growth counseling covering deployment to and from JRTC and recovery.**

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Review and assess last Performance/Professional Growth Counseling.**

**o Duties during JRTC rotation:**

- ***o Guard duty standards***
- ***o Member of NBC team***
- ***o Secondary operator for PSG vehicle***
- ***o Miscellaneous details in support of unit operations(KP, TOC guard…)***
- ***o Staying motivated during continuous operations***
- ***o Constantly thinking safety during all phases of the operations***

**o Preparation for and recovery from JRTC deployment:**

- ***o JRTC redeployment Packing list/ Load Plan***
- ***o PMCS on all equipment(radios, vehicles…)***
- ***o Flight schedule/ Manifesting***
- ***o Pick up of POV (if applicable)***
- ***o Discussed recovery timeline (SOP) and individual as well as unit requirements for completion***

**o Short Term Goals:**

- ***o To have a successful and accident free JRTC Rotation***
- ***o Complete college class currently enrolled in***

**o Long Term Goals:**

- ***o To continue working on Associate degree***
- ***o To assume a leadership role among peers***

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

EDITION OF JUN 85 IS OBSOLETE

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Study FM 22-6, Guard Duty and become familiar with basic responsibilities***

***o Review individual tasks associated with duties as an NBC team member***

***o Get with PSG's driver to ensure I'm listed as secondary operator by COB tomorrow***

***o Take copy of redeployment packing list with me to JRTC***

***o PMCS all equipment being taken to JRTC prior to redeployment and correct all operator level deficiencies***

***o Once redeployed stay focused on recovery responsibilities as outlined in recovery SOP until complete***

***o Remain safety conscious and stop any unsafe act immediately especially during deployment and recovery***

***o In support of short-term goal go to last class 6 Mar and do my best on final exam***

***o In support of long-term goal visit ed-center upon return and enroll in another college class***

***o In support of long-term goal seek opportunities to assume a leadership role among peers***

***o Assessment date: On or about 5 Apr 03, 5 May 03, and 5 June 03***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / ~~disagree~~ with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Joseph Smith*** Date: ***5 Mar 03***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Provide a copy of FM 22-6;***

Signature of Counselor: ***James T. Lester*** Date: ***5 Mar 03 .***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessments done on:*** ***4 Apr 03 JS JTL*** ***6 May 03 JS JTL***

***14 Mar 03, PFC Smith's awareness of safety prevented possible injury and vehicle damage by stopping a soldier who was moving his vehicle on a rail car without a ground guide; PFC Smith displayed outstanding professionalism during his tours on guard duty from 17-26 Mar 03***

***5 Apr-6 May 03, no significant performance***

Counselor: _____ Individual Counseled: _____ Date of Assessment: _____

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

## SH 5, PE-1, Situation #1, PFC Smith's 2nd Substandard Performance Counseling

**DEVELOPMENTAL COUNSELING FORM**

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Smith, Joseph** | **PFC/E-3** | **123-45-6789** | **15 APR 03** |

| Organization | Name and Title of Counselor |
|---|---|
| **Your Unit** | **SGT Lester, James. / Squad leader** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**Event Oriented: You are here because of your failure to pay your DPP at the Post Exchange.**
**Facts: The chain of command is aware that for the last three months you have failed to pay a total of $93.33 and that the payments will be deducted from your pay if the total amount is not rendered within 15 days.**

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Root cause for the lateness on payments:**

***o PFC Smith said he did not get a bill for 2 months and thought he didn't owe anything.***

***o PFC Smith indicated that after receiving his last bill he felt he would be able to catch this up while deployed to JRTC, but failed to follow through.***

**o Budget plan:**

***o Ensure this obligation is included in PFC Smith's bill payment plan.***

**o Consequences of over extended finances:**

***o Discussed how this behavior would ruin his credit in the future and possibly a career in the Army***

**o Plan to overcome delinquent payment and never allow this to happen again:**

***o PFC Smith has the extra money available to pay this now***

***o PFC Smith realizes it's his responsibility to be aware of all obligations and pay these even when not billed and he will attend the next budget counseling session offered***

**o Dishonorably failing to pay depth is punishable under Article 134 UCMJ:** In addition to the counseling points above, he/she received counseling on the following: (1) That continued behavior similar to that for which he/she has been counseled may result in punishment under Article 15, UCMJ, court-martial, or adverse action such as a bar to reenlistment, suspension of favorable personnel actions (promotion, retention, school), or other appropriate administrative sanctions; (2) Separation under the provisions of AR 635-200 if this behavior continues; (3) That if separated prior to ETS, that he/she could receive either an honorable, general, or other than honorable discharge for their current term of service, or their term of service would be uncharacterized if they have served less than 180 days on active duty; (4) The basis for each characterization of service and the discharge certificates received for each and that his/her character of service would become part of a permanent record and can disqualify him/her for either federal employment or a security clearance; (5) The possible effects that each type of discharge would have on reenlistment, civilian employment, veterans benefits, and related matters; (6) That a general discharge would cause loss of civil service retirement credit; (7) That an other than honorable discharge would result in him/her being reduced to the lowest enlisted rank, loss of payment of accrued leave, and loss of all benefits administered by the Veterans Administration and other federal and state agencies; (8) That separation prior to ETS may preclude him/her from enlisting in any component of the Armed Forces; (9) That separation prior to ETS may cause him/her to lose their entitlement to education benefits and money paid into the Army College Fund; (10) That separation prior to ETS may cause him/her to repay any unearned bonus received for enlistment or reenlistment; (11) That it would be unlikely that any attempt to have his/her characterization of service upgraded would be successful; (12) Encourage him/her to make every reasonable effort to ensure his/her performance and conduct meet military standards; (13) That he/she would be given a reasonable effort to bring their substandard performance and conduct to acceptable military standards

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

EDITION OF JUN 85 IS OBSOLETE

**Plan of Action**: (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Go to main exchange and pay delinquent bill today and provide SGT Lester with a copy of the receipt***

***o Attend the post budget counseling class 23 Apr 03***

***o Go to appointment with the Unit Financial Advisor to get a budget drawn up within two weeks***

***o Based on the budget, draft a plan to make payments to all creditors and provide a copy to the chain-of-command within three weeks***

***o If over budgeted, consider consolidating some of the bills***

***o Stick with the budget until the financial problem is resolved***

***o Brief the chain-of-command monthly on your financial situation***

***o Assessment date: On or about 30 Apr 03 and 30 May 03***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / ~~disagree~~ with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Joseph Smith*** Date: ***15 Apr 03***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Enroll PFC Smith in the post budget counseling class; Schedule appointment with Unit Financial Advisor; Review budget plan; Follow-up monthly to ensure PFC Smith is staying within his budget and he is paying all bills.***

Signature of Counselor: ***James T. Lester*** Date: ***15 Apr 03.***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment**: (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessments done on: 30 Apr 03 JS JTL***

***15 Apr 03, Paid delinquent bill at main exchange and provided me with a copy of the receipt***

***1 May 03, Provided me with draft budget and paid all bills listed within the budget plans***

***PFC Smith has a handle on budget and will not make the same mistake in the future***

Counselor: ***James T. Lester*** Individual Counseled: ***Joseph Smith*** Date of Assessment: ***30 May 03***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**SH 5-PE Situation #2, NCO of the Month Event Oriented Counseling**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Seals, Tommy** | **SSG/E-6** | **123-45-6789** | **11 APR 03** |

| Organization | Name and Title of Counselor |
|---|---|
| **Your Unit** | **SFC Nash, Peter. / Platoon Sergeant** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**Event Oriented: Congratulations on your superior performance and selection as the battalion NCO of the Month.**
**Facts: SSG Seals competed against four other peer NCOs for battalion NCO of the Month. His display of outstanding professionalism, confidence, and knowledge led to his selection.**

**PART III - SUMMARY OF COUNSELING**
**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Reviewed performance on last board**
***o Congratulated him on his accomplishment***

**o Career implications:**

***o Discussed how today's performance reflects on the platoon and the company***

***o Discussed how continued performance of this nature will place him above his peers***

***o Discussed how his performance can inspire his soldiers to appear and succeed in Soldier of the Month boards***

***o Discussed preparations for upcoming Brigade NCO of the Quarter Board***

OTHER INSTRUCTIONS
This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

EDITION OF JUN 85 IS OBSOLETE

**Plan of Action**: (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Notify PSG of intent to appear before Brigade NCO of the Quarter Board on 13 June 03***

***o Prepare board appearance packet***

***o Set up study schedule, considering that the board is only two months away***

- ***one hour each day after duty hours***
- ***one four-hour block one day of the weekend***

***o Ensure Class A uniform is ready for two weeks prior to board; PSG will inspect***

***o one week prior to board, become familiar with current events and stay abreast of events up to board date***

***o Assessment dates: on or about 09 May 03, and 13 June 03***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / ~~disagree~~ with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Tommy Seals*** Date: ***11 Apr 03***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Assist him in obtaining any study materials as needed; be on time and prepared for each study session; Review packet for completion and forward it to the board administrator; obtain available information on areas that board members will cover.***

Signature of Counselor: ***Peter Nash*** Date: ***11 Apr 03***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessments done on:*** ***9 May 03*** ***PN TS***

***15 April 03, Packet submitted to board administrator, and obtain a list of topics that board members will cover; conducted all weekend study sessions in PSG office as scheduled; after-work study sessions conducted as scheduled***

***SSG Nash is selected runner-up Brigade NCO of the Quarter.***

Counselor: ***Peter Nash*** Individual Counseled: ***Tommy Seals*** Date of Assessment: ***13June 03***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**SH 5-PE Situation #3 Leadership Development with 4th Squad Leader**

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Dailey, Ernest S.** | **SSG/E-6** | **450-35-4122** | **17 MAR 03** |

| Organization | Name and Title of Counselor |
|---|---|
| **Your Unit** | **SFC Olsen, James J. / Platoon Sergeant** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**Performance and Professional Growth: You are here to improve your leadership and supervisory skills.**
**Facts: Observations reveal that 4th Squad maintenance is a problem.**

**PART III - SUMMARY OF COUNSELING**
**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**Discussed SSG Dailey's self-assessed strengths and weaknesses:**
***o Strengths:***
***o very good interpersonal skills-has earned the trust and respect of his soldiers***
***o high level of technical competence and expertise; understands how to use and maintain all equipment and can accomplish assigned tasks and functions***

***o Weaknesses:***
***o could improve communication, i.e., expressing thoughts and ideas to soldier; needs to be better at giving clear, concise instructions***

**Discussed observed strengths and weaknesses:**
***o Strengths:***
***o inspires loyalty; knows his job and his soldiers***

***o Weaknesses:***
***o needs to improve on recognizing and appropriately addressing poor performance***
***o could better articulate expectations***
***o soldiers do not always understand orders or guidance***

**Discussed Maintenance record and standards:**
***o having more dead-lined vehicles than the other three squads combined severely impacts our ability to accomplish our mission***

***o It is understandable to occasionally have a vehicle with major maintenance problems, but the number of problem vehicles you have is unacceptable***

***o Ninety percent of your vehicles must be mission-ready at all times.***

OTHER INSTRUCTIONS
This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

EDITION OF JUN 85 IS OBSOLETE

**Plan of Action**: (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o simplify orders requirements before execution; have soldiers back-brief instructions to ensure they understand***

***o counsel each squad member within the next 30 days about meeting maintenance standards***

***o supervise maintenance time more closely, until good performance is consistent***

***o conduct weekly maintenance training***

***o meet the standard of ninety percent of vehicles mission ready within sixty days***

***o Assessments dates: on or about 18 April 03, 16 May, and 18 June***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / ~~disagree~~ with the information above

Individual counseled remarks:

Signature of Individual Counseled: ***Ernest S. Dailey*** Date: ***17 Mar 03***

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Mentor SSG Dailey and develop leadership and supervisor skills by providing him the benefit of my experience; observe and make recommendations during maintenance days***

Signature of Counselor: ***James J. Olsen*** Date: ***17 Mar 03***

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***Assessments done on: date: 18 April Initials: JJO / ESD date: 16 May Initials: JJO / ESD***

***18 April – SSG Dailey has improved on simplifying his orders and instructions, and is executing a commendable plan for weekly maintenance training***

***16 May – 4th squad has met the standard for vehicle readiness. SSG Dailey is recognizing substandard performance, making corrections, and conducting counseling as necessary while maintaining the loyalty and respect of his squad members.***

Counselor: ***James J. Olsen*** Individual Counseled: ***Ernest S. Dailey*** Date of Assessment: ***18 Jun 03***

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Randolph, Robert X.** | **SSG** | **123-45-6789** | **6 JAN 03** |

| Organization | Name and Title of Counselor |
|---|---|
| **HHC, Any Unit, US Army** | **SFC Lester, Sylvester Q. / PSG** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):
**Professional Growth Counseling.**

**Facts: SSG Randolph made the promotion roster for SFC. This counseling will cover responsibilities and expectations for the next higher rank, as well as goal setting and mentoring for a position of greater responsibility.**

**PART III - SUMMARY OF COUNSELING**
**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Review of promotion procedures to SFC:**
- ***ANCOC scheduling, prerequisites, and successful completion***
- ***Conditional promotion***

**o Discuss new duty positions available:**
- ***PSG positions available in the Brigade***
- ***Motor SGT position in another BN at this duty station***
- ***PCS to new duty station***

**o Responsibilities and expectations of a senior NCO:**
- ***Level of responsibility***
- ***Now eligible for Sensitive items inventory officer duty, Report of survey officer duty, Division/Installation SDNCO***
- ***Must maintain Physical Fitness level and set the example***
- ***Teaching, coaching and mentoring subordinate NCOs and junior officers***
- ***Must remain proficient in MOS duties as well as Common Tasks in skill levels 1- 4***
- ***More writing and public speaking required as an SFC***
- ***Have to develop a greater understanding of the other battlefield operating systems***
- ***Leadership self assessment for next higher grade***

**o New Professional Goals:**
- **Short Term Goals:** ***Become proficient in MOS and common task duties at skill level 4, Prepare for ANCOC attendance, Attend Maintenance Supervisors course.***

**Long Term Goals:** ***Continue civilian education-work on Associates Degree in Human Resource Management; Prepare for promotion to positions of greater responsibility in the Army-MSG and SGM, plans to be a BN CSM***

OTHER INSTRUCTIONS
This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

EDITION OF JUN 85 IS OBSOLETE

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Access NCOES website for information on ANCOC attendance***
***o Review packing list and ensure that all required items are on hand and serviceable.***
***o Obtain and read any recommended prerequisite materials to prepare for ANCOC.***
***o Prepare to take NCOES diagnostic APFT within 30 days and prepare to conduct and instruct PT at ANCOC.***
***o Provide spouse with information about new responsibilities that go with promotion to SFC and the upcoming ANCOC attendance***
***o Begin studying the 63B MOS soldiers manual and the SMCT to familiarize yourself with the skill level 4 tasks that you are now responsible for knowing***
***o Continue to take college classes toward earning Associates degree-look for opportunities during everyday duty to use those newly acquired skills***
***o Conduct leadership self-assessment aimed at skills required as a new senior NCO with FM 22-100, Appendix B, and prepare to discuss during next quarterly performance and professional growth counseling.***
***o In support of the long-term goal of promotion to MSG and SGM/CSM, review the 63B professional development model in DA PAM 600-25 to come up with a realistic future plan.***

***o Assessment date: On or about 6 MAR 03***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / ~~disagree~~ with the information above

Individual counseled remarks:

Signature of Individual Counseled: *Robert X. Randolph* Date: *6 JAN 03* .

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Allow time to prepare for ANCOC attendance; Discuss possible reassignment to positions of greater responsibility with 1SG, Keep informed of 1SG's advice and guidance, Place SSG Randolph onto the appropriate duty rosters for an SFC, Ensure that SSG Randolph is physically ready for ANCOC attendance, Conduct leadership assessment on SSG Randolph with FM 22-100, App. B to determine weaknesses and strengths as a new senior NCO, prepare to discuss assessment at next quarterly counseling, Schedule/administer NCOES diagnostic APFT; Follow-up check on individual skill level 4 MOS and common task study program and status of college education improvement plan, teach coach and mentor this new senior NCO.***

Signature of Counselor: *Sylvester Q Lester* Date: *6 JAN 03* .

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

***03FEB 03, SSG Randolph took his ANCOC NCOES diagnostic APFT and easily passed with a score of 253 points, he taped at just 1.5% under his maximum allowed body fat and I informed him of his responsibility to report to ANCOC within the requirements of AR 600-9.***

***01 MAR 03, The newly promoted SFC Randolph will go to ANCOC next month and assign as the Motor SGT in another BN in our BDE. I will continue to be his mentor and will assist him in making a smooth transition into that new duty position.***

Counselor: *Sylvester Q. Lester* Individual Counseled: *Robert X. Randolph* Date of Assessment: *6 MAR 03* .

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

**SH 5-PE Situation #5. Developmental Counseling by PL – Initial DA Form 2166-8-1**

NCO COUNSELING CHECKLIST/RECORD

For use of this form, see AR 623-205; the proponent agency is ODCSPER.

| NAME OF RATED NCO | RANK | DUTY POSITION | UNIT |
|---|---|---|---|
| Mentor, Robert X. | SFC | 1st Platoon SGT | A Co., Any Unit APO AE |

PURPOSE: The primary purpose of counseling is to improve performance and to professionally develop the rated NCO. The best counseling is always looking forward. It does not dwell on the past and on what was done, rather on the future and what can be done better.
Counsel the end of the rating period is too late since there is no time to improve before evaluation

RULES:
1. Face-to-face performance counseling is mandatory for all Noncommissioned Officers
2. This form is for use along with a working copy of the NCO-ER for conducting NCO performance counseling and recording counseling content and dates. Its use is mandatory for counseling all NCOs, CPL through CSM.
3. Active Component. Initial counseling must be conducted within the first 30 days of each rating period, and at least quarterly thereafter. Reserve Components.(ARNG, USAR). Counseling must be conducted at least semiannually. There is no mandatory counseling at the end of the ra ng period.

**CHECKIST – FIRST COUNSELING SESSION AT THE BEGINNING OF THE RATING PERIOD**

**PREPARATION**
1. Schedule counseling session, notify rated NCO.
2. Get copy of last duty description used for rated NCO's duty position, a blank copy of the NCO-ER, and the names of the new rating chain.
3. Update duty description (see page 2).
4. Fill out rating chain and duty description on working copy of NCO-ER, Parts II and III.
5. Read each of the values/responsibilities in part IV of NCO-ER and the expanded definitions and examples on page 3 and 4 of this form
6. Think how each value and responsibility in Part IV of NCO-ER applies to the rated NCO and his/her duty position.
Note: Leadership and training may be more difficult to apply than the other values/responsibilities when the rated NCO has no subordinates. Leadership is simply influencing others in the accomplishment of the mission and that can include peers and superiors. It also can be applied directly to additional duties and other areas of Army community life. Individual training is the responsibility of all NCOs whether or not there are subordinates. Every NCO knows something that can be taught to others and should Be involved in some way in a training program.
7. Decide what you consider necessary for success (a meets standards rating) for each value/responsibility. Use the examples listed on page 3 and 4 of this form as a guide in developing your own standards for success. Some may apply exactly, but you may have to change them or develop new ones that apply to your situation. Be specific so the rated NCO will know what is expected.
8. Make notes in blank spaces in Part IV of NCO-ER to help when

**COUNSELING**
1. Make sure the rated NCO knows rating chain.
2. Show rated NCO the draft duty description on your working copy of the NCO-ER. Explain all parts. If rated NCO performed in position before, ask for any ideas to make duty description better
3. Discuss the meaning of each value/responsibility in part IV of NCO-ER. Use the trigger words on the NCO-ER, and the expanded definitions on pages 3 and 4 of this form to help.
4. Explain how each value/responsibility applies to the specific duty position by showing or telling your standards for success (a meets standards rating). Use examples on pages 3 and 4 of this form as a start point. Be specific so the rated NCO really knows what's expected.
5. When possible, give specific examples of excellence that could apply. This gives the rated NCO something special to strive for. Remember that only a few achieve real excellence and that real excellence always includes specific results and often Includes accomplishments of subordinates.
6. Give rated NCO the opportunity to ask questions and make Suggestions.

**BEFORE THE NCO DEPARTS THE COUNSELING SESSION**
1. Record counseling date on this form.
2. Write any additional key points that come up during the counseling session on this form.

**CHECKIST – LATER COUNSELING SESSION DURING THE RATING PERIOD**

PREPARATION
1. Schedule counseling session, notify rated NCO, and tell him/her to come prepared to discuss what has been accomplished in each value/responsibility area.
2. Look at working copy of NCO-ER you used during last counseling session.
3. Read and update duty description. Especially note the area of special emphasis; the priorities may have changed.
4. Read again, each of the values/responsibilities in Part IV of NCO-ER and the expanded definitions and examples on pages 3 and 4 of this form; then think again, about your standards for success.
5. Look over the notes you wrote down on page 2 of this form about the last counseling session.
6. Think about what the rated NCO has done so far during this rating period (specifically, observed action, demonstrated behavior, and results).
7. For each value/responsibility area, answer three questions: First, what as happened in response to any discussion you had during the last counseling session? Second, what has been done well?; and third, what could be done better?
8. Make notes in blank spaces in Part IV of NCO-ER to help focus when counseling. (Use new NCO-ER if old one is full from last counseling session.)
9. Write key points to be made during the counseling session on this form.
10. Review Developmental Counseling in FM 22-100, appendix C

**DA FORM 2166-8-1, Oct 2001** **REPLACES DA FORM 2166-7-1, SEP 87, WHICH IS OBSOLETE.**

COUNSELING

1. Go over each part of the duty description with rated NCO. standards as a guide for the discussion (the examples on pages 3 and 4 may help). First, for each value/responsibility, talk about what has happened in response to any discussion you had during the last counseling session (remember, observed action, demonstrated behavior and results). Second, talk about what was done well. Third, talk about how to do better. The goal is to get all NCOs to be successful and meet standards.
3. When possible, give examples of excellence that could apply. This gives the rated NCO something to strive for, REMEMBER, EXCELLENCE IS SPECIAL, ONLY A FEW ACHIEVE IT! Excellence includes results and often involves subordinates.
4. Ask rated NCO for ideas, examples and opinions on what has been done so far and what can be done better. (This step

**COUNSELING RECORD/KEY POINTS MADE**

BEFORE THE NCO DEPARTS THE COUNSELING SESSION

1. Record counseling date on this form.
2. Write any additional key points that came up during the counseling session on this form.
3. Show key points to rated NCO and get his/her initials.
4. Save NCO-ER with this checklist for next counseling session. (Notes should make record NCO-ER preparation easy at the end of the rating period.

INITIAL

*Discussed duties and responsibilities as PSG and my expectations; Discussed responsibility for the overall readiness of his soldiers and the need to adapt any situation in order to maintain a high state of readiness; As a minimum, this includes ensuring SRP folders and Family Care Plans are up-to-date, that maintenance of equipment and vehicles are done weekly , and that platoon members are current on weapons qualifications and APFT qualifications. Tasked him to review the training records and ensure the platoon is proficient in its battle drills and weapons qualifications are current, as well as APFT scores. Discussed his responsibility to mentor the squad leaders, develop their leadership skills, and mentor the PL as well. Established that there must be teamwork and two-way communication between the PSG and PL ; Discussed appointed duties: PSG will be the new UPL, and Company EOR.*

DATE RATED NCO'S INITIALS

LATER

DATE RATED NCO'S INITIALS

LATER

DATE RATED NCO'S INITIALS

LATER

DATE RATED NCO'S INITIALS

**DUTY DESCRIPTION (PART III of NCO ER)**

The duty description is essential to performance counseling and evaluation. It is used during the first counseling session to tell rated NCO what the duties are and what needs to be emphasized. It may change somewhat during the rating period. It is used at the end of the rating period to record what was important about the duties.

The five elements of the duty description:

**1&2. Principal Duty Title and Duty MOS Code.** Enter principal duty title and DMOS that most accurately reflects actual duties performed.

**3. Daily Duties and Scope.** This portion should address the most important routine duties and responsibilities. Ideally, this should include number of people supervised, equipment, facilities, and dollars involved and any other routine duties and responsibilities critical to mission accomplishment.

4. **Area of Special Emphasis**. This portion is most likely to change somewhat during the rating period. For the first Counseling session, it includes those items that require top priority effort at least for the first part of the upcoming rating period. At the end of the rating period, it should include the most Important items that applied at any time during the rating period (examples are preparation for deployment, combined arms drills training for FTX, preparation for NTC rotation, revision of Battalion maintenance SOP, training for tank table qualification, ITEP and company AMTP readiness, related tasks cross-training, reserve components annual training support (AT) and SIDPERS acceptance rate).

**5. Appointed Duties.** This portion should include those duties that are appointed and are not normally associated with the duty description.

DA FORM 2166-8-1, OCT 2001

NCO EVALUATION REPORT
For use of this form, see AR 623-205; the proponent agency is ODSCPER

***SEE PRIVACY ACT STATEMENT***
*IN AR 623-205, APPENDIX C.*

**PART I-ADMINISTRATIVE DATA**

| a. NAME *(Last, First, Middle Initial)* | b. SSN | c. RANK | d. DATE OF RANK | e. PMOSC |
|---|---|---|---|---|
| **MENTOR, ROBERT X.** | **123-45-6789** | **SFC** | **020501** | **31W4XD9** |

f. UNIT, ORG., STATION, ZIP CODE OR APO, MAJOR COMMAND
**Company A, 35th Signal Battalion, APO AE 09123, FORSCOM**

g. REASON FOR SUBMISSION

| h. PERIOD COVERED FROM YYYY MM | THRU YYYY MM | i. RATED MONTHS | j. NON-RATED CODES | k. NO. OF ENCL | l. RATED NCO COPY *(Check one and Date)* | | m. PSC Initials | n. CMD CODE | o. PSB CODE |
|---|---|---|---|---|---|---|---|---|---|
| **2002 08** | | | | | 1. Given to NCO | *Date* | | | |
| | | | | | 2. Forwarded to NCO | | | | |

**PART II-AUTHENTICATION**

| a. NAME OF RATER *(Last, First, Middle Initial)* | SSN | SIGNATURE |
|---|---|---|
| **Green, Truman L.** | **478-17-0275** | |

RANK, PMOS/BRANCH, ORGANIZATION, DUTY ASSIGNMENT
**2LT, SC, Company A, 35th Signal Battalion Platoon Leader**
DATE

| b. NAME OF SENIOR RATER *(Last, First, Middle Initial)* | SSN | SIGNATURE |
|---|---|---|
| **Cheatham, Matthew J.** | **257-96-0333** | |

RANK, PMOS/BRANCH, ORGANIZATION, DUTY ASSIGNMENT
**CPT, SC, Company A, 35th Signal Battalion Commander**
DATE

c. RATED NCO: I understand my signature does not constitute agreement or disagreement with the evaluations of the rater and senior rater. I further understand my signature verifies that the administrative data in Part II, the duty description to include the counseling dates in Part III, and the APFT and height/weight entries in Part Ivc are correct. I have seen the report completed through Part V, except Parts Iid and Iie. I am aware of the appeals process of AR 623-205.
SIGNATURE DATE

| d. NAME OF SENIOR RATER *(Last, First, Middle Initial)* | SSN | SIGNATURE |
|---|---|---|
| **Forrest, Jenny A.** | **357-91-2468** | |

RANK, PMOS/BRANCH, ORGANIZATION, DUTY ASSIGNMENT
**LTC, SC, 35th Signal Battalion Commander**
DATE

e. ☐ CONCUR WITH RATER AND SENIOR RATER EVALUATIONS ☐ NONCONCUR WITH RATER AND/OR SENIOR RATER EVAL ***(See attached comments)***

**PART III-DUTY DESCRIPTION *(Rater)***

| a. PRINCIPAL DUTY TITLE | b. DUTY MOSC |
|---|---|
| **Platoon Sergeant** | **31W4O** |

c. DAILY DUTIES AND SCOPE *(To include, as appropriate, people, equipment, facilities and dollars)*
**Platoon Sergeant in a tactical signal company; directly supervises four NCOs; responsible for the training, health, welfare, and overall readiness of 40 soldiers; oversees the maintenance of three tactical vehicles and associated tactical satellite equipment; responsible for the conduct of Sergeants' Time Training and Common Task Training/Testing; primary hand receipt holder for tactical and automation equipment valued in excess of 600,000 dollars.**

d. AREAS OF SPECIAL EMPHASIS **JRTC preparation, Platoon Physical Fitness, Deployment Readiness**
**Rater: Truman.Green@us.army.mil; S/R: Matthew.Cheatham1@us.army.mil; S/R: jenny.forrest@us.army.mil**

e. APPOINTED DUTIES
**Unit Prevention Leader, Equal Opportunity Representative**

| f. COUNSELING DATES | INITIAL | LATER | LATER | LATER |
|---|---|---|---|---|
| | ***020906*** | | | |

**PART IV-ARMY VALUES/ATTRIBUTES/SKILLS/ACTIONS *(Rater)***

**a. ARMY VALUES. Check either "YES" or "NO".** ***Comments are mandatory for "No" entries; optional for "Yes" entries.***

| | YES | NO |
|---|---|---|
| 1. LOYALTY: Bears true faith and allegiance to the U.S. Constitution, the Army, the Unit, and other soldiers. | | |
| 2. DUTY: Fulfills their obligations. | | |
| 3. RESPECT/EO/EEO: Treats people as they should be treated. | | |
| 4. SELFLESS-SERVICE: Puts the welfare of the nation, the Army, and subordinates before their own. | | |
| 5. HONOR: Lives up to all the Army values. | | |
| 6. INTEGRITY: Does what is right – legally and morally. | | |
| 7. PERSONAL COURAGE: Faces fear, danger, or adversity (physical and moral) | | |

**V**
Loyalty
Duty
Respect
Selfless-Service
**A**
**L**
**U**
Honor
Integrity
Personal Courage
**E**
**S**

Bullet comments
*o Put the goals of the unit ahead of personal gain*

*o Be extremely dedicated to mission accomplishment and the welfare of his soldiers*

*o Always demonstrate the highest moral standards and level of integrity*

**DA FORM 2166-8, OCT 2001** REPLACES DA FORM 2166-7, SEP 87, WHICH IS OBSOLETE USAPA V1.01

| RATED NCO'S NAME *(Last, First Middle Initial)* | SSN | THRU DATE |
|---|---|---|
| **MENTOR, ROBERT X.** | **123-45-6789** | |

**PART IV (Rater) – VALUES/RESPONSIBILITIES**

*Specific bullet examples of "EXCELLENCE" or "NEEDS IMPROVEMENT" are mandatory*
*Specific bullet examples of "SUCCESS" are optional*

| | |
|---|---|
| b. COMPETENCE<br>o Duty proficiency; MOS competency<br>o Technical & tactical; knowledge, skills, and abilities<br>o Sound judgment<br>o Seeking self-improvement; always learning<br>o Accomplishing tasks to the fullest capacity; committed to excellence<br>EXCELLENCE *(Exceeds std)* ☐ SUCCESS *(Meets std)* ☐ NEEDS IMPROVEMENT *(Some)* ☐ *(Much)* ☐ | *o Foster significant improvement in platoon tactical efficiency ratings*<br><br>*o Stay up-to-date in applicable technology thru self study* |
| c. PHYSICAL FITNESS & MIITARY BEARING<br>o Mental and physical toughness<br>o Endurance and stamina to go the distance<br>o Displaying confidence and enthusiasm; looks like a soldier<br>**EXCELLENCE** *(Exceeds std)* ☐ **SUCCESS** *(Meets std)* ☐ **NEEDS IMPROVEMENT** *(Some)* ☐ *(Much)* ☐ | APFT / HEIGHT/WEIGHT<br>*o Earn Army Physical Fitness Badge*<br><br>*o Always present a crisp, soldierly appearance* |
| d. LEADERSHIP<br>o Mission first<br>o Genuine concern for soldiers<br>o Instilling the Spirit to achieve and win<br>o Setting the example; Be, Know, Do<br>**EXCELLENCE** *(Exceeds std)* ☐ **SUCCESS** *(Meets std)* ☐ **NEEDS IMPROVEMENT** *(Some)* ☐ *(Much)* ☐ | *o Coach and mentor your squad leaders in personal and professional development to develop a cohesive team*<br><br>*o Mentor the platoon leader, helping enable him to establish effective communication with soldiers and lead from the front* |
| e. TRAINING<br>o Individual and team<br>o Mission focused, performance oriented<br>o Teaching soldiers how; common tasks, duty-related skills<br>o Sharing knowledge and experience to fight, survive and win<br>**EXCELLENCE** *(Exceeds std)* ☐ **SUCCESS** *(Meets std)* ☐ **NEEDS IMPROVEMENT** *(Some)* ☐ *(Much)* ☐ | *o Develop and execute solid training plans for Sergeants' Time training*<br><br>*o Institute a PT program, to improve the platoon APFT average score* |
| f. RESPONSIBILITY & ACCOUNTABILITY<br>o Care and maintenance of equipment/facilities<br>o Soldier and equipment safety<br>o Conservation of supplies and funds<br>o Encouraging soldiers to learn and grow<br>o Responsible for good, bad, right & wrong<br>**EXCELLENCE** *(Exceeds std)* ☐ **SUCCESS** *(Meets std)* ☐ **NEEDS IMPROVEMENT** *(Some)* ☐ *(Much)* ☐ | *o Maintain accurate and complete UPL documents*<br><br>*o Participate proactively in EO functions such as ethnic observances* |

**PART V – OVERALL PERFORMANCE AND POTENTIAL**

| | |
|---|---|
| a. RATER: Overall potential for promotion and/or service in positions of greater responsibility.<br>AMONG THE BEST ☐ FULLY CAPABLE ☐ MARGINAL ☐ | e. SENIOR RATER BULLET COMMENTS |
| b. RATER: List 3 positions in which the rated NCO could best serve the Army at his/her Current or next higher grade.<br>_____<br>_____<br>_____ | |
| c. SENIOR RATER. Overall performance ☐ ☐ ☐ ■ ☐ ■ ☐<br>1 2 3 4 5<br>Successful Fair Poor | d. SENIOR RATER. Overall potential for promotion and/or service in positions of greater responsibility. ☐ ☐ ☐ ■ ☐ ■ ☐<br>1 2 3 4 5<br>Successful Fair Poor |

***DA FORM 2166-8, OCT 2001*** USAPA V1.01

# DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| **Mentor, Robert X.** | **SFC** | **123-45-6789** | **6 SEP 02** |

| Organization | Name and Title of Counselor |
|---|---|
| **1st Plt, A Co., Any Unit, US Army** | **2LT Green, Truman L./ Plt Ldr** |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**Performance and Professional Growth Counseling.**

**Facts: SFC Mentor is receiving his initial performance and professional growth counseling after I became his new supervisor/rater. This is also SFC Mentor's initial NCOER counseling in conjunction with the DA Forms 2166-8-1 and 2166-8.**

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

**o Review duty description as PSG:**

- ***Agreed on duty description, acknowledged that it may change later during the rating period.***
- ***Discussed the team relationship between PSG and PL and the need for two-way communication between them.***
- ***Discussed maintaining, training, leading, caring, and adapting***

**o Discuss the meaning of values and responsibilities:**

- ***Example bullets on DA 2166-8 for success or excellence in each value and responsibility area***
- ***Discussed how values relate to PSG position***

**o Areas of special emphasis and appointed duties:**

- ***Prepare platoon for JRTC rotation in 5 months***
- ***Work on leader development with squad leaders***
- ***Act as mentor for PL***
- ***Appointed Duty: UPL; Company EOR***

**o Short-Term Goals:** ***Prepare Plt for safe successful JRTC rotation; Prepare for MSG promotion board; mentor and develop PL to be a quality Army officer.***

**o Long-Term Goals:** ***Continue civilian education-work on Bachelors degree in Human Resource Management; Prepare for promotion to 1SG and a position of greater responsibility; plans to be a BN CSM in 5 years.***

**o Leadership self-assessment:** ***Will conduct self-assessment this quarter and prepare to talk about results during next quarterly counseling as strengths or weaknesses.***

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

DA FORM 4856, JUN 99

EDITION OF JUN 85 IS OBSOLETE

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

***o Will work at developing team relationship with PL***
***o Keep Pl informed on all actions executed or considered in regards to Plt operations.***
***o Prepare Plt for JRTC rotation by:***
***o Check SRP packets to ensure that all Plt soldiers are ready to deploy.***
***o Work with Pl to schedule pre-deployment training***
***o Inspect squads and equipment for readiness and serviceability.***
***o Have squad leaders conduct leadership self-assessment and follow-up with developmental counseling***
***o Teach, coach and mentor PL***
***o Continue to take college classes toward earning Bachelors degree-look for opportunities during everyday duty to use those newly acquired skills***
***o Conduct leadership self-assessment aimed at skills required as a PSG with FM 22-100, Appendix B, and prepare to discuss during next quarterly performance and professional growth counseling.***
***o In support of the long-term goal of promotion to MSG/1SG, review the MOS professional development model in DA PAM 600-25 to come up with a realistic future plan.***

***o Assessment date: On or about 6 OCT, 6 NOV, and 6 DEC.***

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / ~~disagree~~ with the information above

Individual counseled remarks:

Signature of Individual Counseled: *Robert X. Mentor* Date: *6 SEP 02* .

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

***Work at developing team relationship with PSG; Will be receptive to teaching coaching and mentoring from PSG, Keep informed of Commanders guidance, Work with PSG to get Plt ready for successful JRTC deployment, Conduct leadership assessment on SFC Mentor with FM 22-100, App. B to determine weaknesses and strengths as a new senior NCO, prepare to discuss assessment at next quarterly counseling, Follow-up check on status of college education improvement plan.***

Signature of Counselor: *Truman L. Green* Date: *6 SEP 02.*

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

Counselor: _____ Individual Counseled: *Date* of Assessment: _____.

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

DA FORM 4856 (Reverse)

# Student Handout 6

**This Student Handout Contains**

This student handout contains 14 pages of extracted material from the following publication:

DA Pam 600-25, US Army NCO Professional Development Guide, 15 October 2002

| DESCRIPTION | PARAGRAPH NUMBER |
|---|---|
| CHAPTER 2 | 2-1 THRU 2-6 |
| CHAPTER 4 | 4-1 AND 4-2 |
| APPENDIX C | C-1 THRU C-6 |

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Department of the Army
Pamphlet 600–25

Personnel-General

# U.S. Army Noncommissioned Officer Professional Development Guide

Headquarters
Department of the Army
Washington, DC
15 October 2002

**UNCLASSIFIED**

# Chapter 2
# Leader Development Process

## 2–1. Leader development process

The leader development process consists of three distinct, but closely related pillars: institutional training, operational assignments, and self-development. This is a continuous cycle of education, training, experience, assessment, feedback, and reinforcement designed to meet the needs of the Army, the unit, and develop the potential of noncommissioned officers as leaders. In all three pillars, the emphasis is on developing competent and confident leaders of character who understand, and have the ability to exploit the full potential of current and future Army doctrine across the full spectrum of military operations.

## 2–2. Institutional training

*a.* Institutional training is all formal military training and education NCOs receive throughout a military career. The purpose of institutional training is to develop the values, attributes, critical warfighting skills, and actions that are essential to quality NCO leadership. When these same values, attributes, skills, and actions are tested, reinforced, and strengthened by follow-on operational assignments and meaningful self-development programs, NCOs attain and sustain competency in their profession of arms. Institutional training provides the sound foundation upon which all future leader development rests. The Noncommissioned Officer Education System (NCOES) and certain other functional courses form the institutional training pillar of NCO leader development. NCOES is designed to prepare noncommissioned officers to lead and train soldiers who work and fight under their leadership, and assist their assigned leaders to execute unit missions. NCOES does this through progressive and sequential training using small group instruction for NCOs throughout four levels of schooling: primary, basic, advanced, and senior. Functional courses are based on specific skills required for special assignments or duties. The Army uses resident and distance learning instruction to provide this institutional training.

*b.* The Primary Leadership Development Course (PLDC) is a non-military occupational specialty (MOS) specific, field-oriented, leadership course built around basic soldier skills. PLDC trains specialist (SPC)(P), corporal (CPL)(P), and sergeants at Noncommissioned Officer Academies (NCOA) throughout the Army. The training is focused on the values, attributes, skills, and actions needed for team leadership responsibilities at the rank of sergeant (SGT). Active Army (AA) and Active Guard (AGR) Reserve Component (RC) NCOs attend a 30-day resident course. Non-AGR RC NCOs complete pre-resident training, then attend a 15 day resident phase during active duty for training (ADT) or annual training (AT) at a TASS (The Army School System) institution. Promotion to SGT is contingent upon successful completion of PLDC.

*c.* The Basic Noncommissioned Officer Course (BNCOC) is between 2 to 55 weeks, depending upon the MOS, and consists of two or more phases. Phase I, which is a stand alone common core, uses the small group instruction process to teach the theory and principles of battle-focused common core training, leadership, and war fighting skills required to lead a squad-sized element in combat. Phase II is "hands on," performance oriented, technical training that is specific to the MOS. The level of training received at BNCOC progressively and sequentially improves upon the previous instruction received in PLDC and operational assignments. All NCOs attend a TASS school facility dependent upon training seat availability and proximity to home station. Non-AGR RC NCOs attend during ADT or AT. Promotion to staff sergeant is contingent upon successful completion of BNCOC.

*d.* The Advanced Noncommissioned Officer Course (ANCOC) is structured similar to BNCOC, and prepares NCOs to assume the duties and responsibilities needed to lead a platoon-sized element. ANCOC has a phase I stand-alone common core, as well as proponent phases that include hands-on and performance oriented training that emphasize war-fighting skills. ANCOC is conducted at resident service schools and the course length is based upon the MOS. As with BNCOC, AA and RC NCOs attend a TASS school facility dependent upon training seat availability. Non-AGR RC NCOs attend during ADT or AT. Promotion to SFC is contingent upon successful completion of ANCOC.

*e.* The Sergeants Major Course (SMC) prepares selected master sergeants (MSG) to perform the duties of sergeant major (SGM) and command sergeant major (CSM) for staff and troop assignments. The SMC is the pinnacle of the enlisted education system, and is a prerequisite for promotion to SGM and appointment to CSM. This senior-level

training is obtained through a 9-month resident course taught at Fort Bliss, TX, or through a two-year non-resident course for RC and selected AA personnel.

*f.* Functional courses such as drill sergeant, recruiter, and attaché training are required for special assignments. Other functional courses such as the Battle Staff Course and First Sergeants Course (FSC), provide specific skills required for duties in operations and leadership areas of responsibility. Senior NCOs selected for first sergeant duty are required to attend the FSC prior to assuming their initial first sergeant position. Command sergeants major (CSM) attend the Command Sergeants Major course to prepare them for their initial duty as a CSM.

### 2–3. Operational assignments

*a.* Operational experience provides leaders the opportunity to employ and further develop those skills attained through the process of formal education. Experience gained through a variety of challenging duty assignments prepares NCOs to lead soldiers in combat.

*b.* Operational assignments are made based on the NCO's military specialty and additional skills. Special duty assignments present a unique challenge and opportunity for leader development as the NCO is often performing duties outside his or her primary military occupational specialty (PMOS) in positions that include drill instructor, recruiter, joint duty, and attaché. Commanders and leaders use the Unit Leader Development Plan (LDP) and noncommissioned officer professional development (NCOPD) to enhance NCO leader development during operational assignments.

*c.* Developing leaders is a priority mission in Army organizations. Commanders, leaders, and supervisors develop subordinates and ensure necessary educational requirements are met. Commanders should establish a formal unit LDP that focuses on developing individual leaders. These programs should consist of three phases: reception and integration; basic skills development; and advanced development and sustainment.

(1) Conduct an assessment of basic skills to identify strengths that must be sustained, weaknesses that need improvement, and skills that need to be developed for the NCO to assume greater responsibilities.

(2) Integrate mission essential task list (METL) based training and other unit-related training that support the unit METL.

(3) Correct weaknesses that impact on the performance of duties. Gain experience for assignment and career development needs.

*d.* The NCOPD is the NCO leader development program implemented by the CSM, and is based on the commander's guidance and directives. This program encompasses most leadership training at the unit level, and is tailored to the unique requirements of that unit and its NCOs.

*e.* Commanders must continuously integrate individual training with collective training to effectively use available time and resources to develop leaders and ensure soldiers can perform every task required at their skill level. Operational assignments should reflect the present and projected level of the soldier's institutional training and performance abilities.

### 2–4. Self-development

*a.* Self-development is a planned, progressive and sequential program followed by NCOs. This program is comprised of individual study, education, research, and professional reading (see the Army Chief of Staff's professional reading list–appendix E). Self-development also includes practice, and self-assessment, and ideally is synchronized with institutional training and operational assignments. Self-development programs should complement and expand on advancements and accomplishments gained during institutional training and operational assignments, and the programs require a lifelong commitment. Self-development is a personal responsibility and focuses on maximizing leader strengths, minimizing weaknesses, and achieving individual leader development goals. Self-development is a joint effort involving the individual soldier and the full support of commanders, leaders, and supervisors to be effective.

*b.* Initially, self-development is narrow in focus, but broadens as individuals become more familiar with their own strengths and weaknesses, determine their specific needs, and become more independent. Each leader's knowledge and perspective increase with age, experience, institutional training, and operational assignments. Specific and goal-

oriented development allows individuals, commanders, and leaders to build a functional self-development program tailored to NCO and unit needs. NCO professional development models (PDM) are the soldiers' guide to self-development.

### 2–5. Educational activities in support of self-development

Many self-development activities recommended on a PDM come from programs and services offered through the Army Continuing Education System (ACES), which operates education and learning centers throughout the Army. ACES assists soldiers with self-development as described below:

*a*. Education center counseling services provide academic and vocational counseling to help soldiers establish professional and educational goals. Counselors assist in enrolling the soldier in appropriate courses and in finding alternate methods to achieve the soldier's goal when duty schedule prevents regular course enrollment.

*b*. Functional Academic Skills Training (FAST) offers instruction in reading, mathematics, and communication skills to help soldiers function on the job, prepare for advanced training, and meet prerequisites for continued education. These courses can help selected soldiers achieve the current recommended reading grade levels and the Army's recommended writing standard. This is an on-duty commander's program to ensure soldiers possess the necessary reading and writing skills to succeed in their occupational specialty. Read-to-lead is a self-paced program to help soldiers improve their reading skills.

*c*. High school completion programs offer soldiers the opportunity to earn a high school diploma or equivalency certificate on or off-duty.

*d*. College level courses are available through installation education centers that coordinate with participating colleges to provide on-post programs that lead to a degree. Most institutions, operating on-post, are part of the Servicemembers Opportunity Colleges Army Degree (SOCAD), which guarantees soldiers' transfer of credits and acceptance of non-traditional credits, such as military experience and College Level Examination Program (CLEP) tests. Also included are courses for credentialing, certification, and licensing through the education centers or using an online Web site, Army Credentialing Opportunities Online (COOL). Tuition assistance (TA) is authorized to pay for voluntary off-duty, and approved on duty, education programs that support Army educational objectives and the soldier's self-development goals. These programs help soldiers earn post secondary degrees, that is, associate and baccalaureate's degrees, recommended on professional development models. Education counselors assist soldiers in applying for tuition assistance.

*e*. Testing is offered by education centers for a wide range of academic and vocational tests. These tests include the Adult Basic Education (Test) (TABE)-A Reading Comprehension Test for NCOES; Scholastic Aptitude Test (SAT) and American College Test (ACT) for college entrance; and College Level Examination Program tests for college credit.

*f*. Language training for non-linguists is provided by ACES through host-nation orientation and instruction in basic language skills. These courses enhance language skills of soldiers whose primary duties require frequent contact with host-nation counterparts. Materials are also available for sustainment of language skills.

*g*. Correspondence courses are offered through The Defense Activity for Non-Traditional Educational Support (DANTES), which publishes a catalog of post-secondary correspondence courses in which soldiers may enroll in, as well as attending regular classroom courses. Education counselors can advise soldiers on the availability of approved courses and tuition assistance.

*h*. Army Learning Centers provide a variety of independent study materials, computer-based instruction, language labs, tutorial services, and a military publications library. These centers support self-development, unit, and individual training. Materials recommended on PDM reading lists can generally be found in Army learning centers.

*i*. The Army Correspondence Course Program (ACCP) provides a variety of self-study correspondence courses that are specific to each MOS and CMF. Courses are also available in leadership and training management, and are geared to professional development. Proponent schools develop the courses, many of which consist of sub-courses

that provide the soldier promotion points once completed. Soldiers can enroll for courses at the their unit, their Army learning center or online.

### 2–6. Professional development models

Professional development models are developed for each MOS, and are found in chapters 4 through 36 of this publication. PDMs —

*a*. Outline institutional training and operational assignments in relation to career management field (CMF) recommended self-development activities. Leader self-development is an individual soldier responsibility, and the only leader development phase over which a soldier has direct control.

*b*. Emphasize self-development. However, soldiers should not emphasize PDM activities to the point where self development takes precedence over duty performance.

*c*. List operational assignments as examples of career development. Soldiers should consult with their supervisors and career advisors for their particular CMF progression.

*d*. Guide soldiers through CMF proponent recommended activities to become more proficient at current and next higher-level duty positions.

*e*. Identify courses and training that complement and supplement institutional instruction and operational assignment experiences.

*f*. Focus on broad recommendations, which address the values, attributes, skills, and actions successful NCOs have found to be beneficial to their career progression. Each PDM lists recommended self-development activities to complete prior to attending NCOES and for specific MOS skill levels. Activities include ACCP, computer-based instruction, post secondary courses, professional readings, and learning center activities.

*g*. Recommend goals to include professional certification, credentialing, and degrees related to the soldier's CMF.

*h*. Contain recommendations for self-development. It may not be feasible for a soldier to complete all recommended activities since some duty assignments may preclude off-duty education. However, there are alternate methods of achieving recommendations, for example, examinations, distance learning, and learning center activities.

*i*. Offer a series of planned, progressive, and sequential developmental activities that leaders can follow to enhance and sustain military leadership competencies throughout their careers. Any self-development activities undertaken will require personal sacrifice of off-duty time if the soldier is to achieve the desired goal.

*j*. Provide the recommended activities soldiers can take to better prepare themselves for each phase of NCOES and to perform in each duty assignment.

## Chapter 4
## Infantry (CMF 11) Career Progression Plan

### 4–1. Duties

The Infantry Force is a branch designed to close with the enemy by fire and maneuver to destroy or capture him, and repel his assault by fire, close combat, and counterattack. The Infantry can fight mounted or dismounted according to terrain conditions and mission requirements. This career field is closed to women.

## 4–2. MOS 11B Infantryman

*a. Major duties.* The infantryman supervises, leads, or serves as a member of an infantry activity that employs individual small arms weapons or heavy anti-armor crew served weapons, either vehicle or dismounted in support of offensive and defensive combat operations.

*b. Prerequisites.* See DA Pam 611–21 and PERSCOM Smartbook Web site.

*c. Goals for development* The purpose of the infantryman professional development pattern is to educate soldiers and NCOs on how to map their career to become successful combat leaders. United States Army Infantry Center's (USAIC's) commitment to the Infantry Force is that it will prepare NCOs for success through training in the institution, based on a thorough review of training strategy. The Noncommissioned Officer Education System (NCOES) System will also provide multifunctional training during Basic Noncommissioned Officer Course (BNCOC), and Advanced Noncommissioned Officer Course (ANCOC) to all NCOs to assist in forming the NCO into a leader prepared to excel in any Infantry assignment. Infantrymen will fill varied tactical assignments during their career, which will come when the NCO transitions between the different functions of Infantry (light, mechanized,and antiarmor). The Light Leaders Course, Bradley Transition Course, and Anti-Armor Leaders course have been instituted to provide the specialized training required to set the adaptive infantry leader for success. Follow-on assignments at the brigade and division staff will then add to their overall professional knowledge. In a tactical unit, the NCO should spend roughly 75 percent of his assignments at battalion level and below and 25 percent in other duty positions. Back-to-back, non-infantry tactical assignments should be avoided (such as going from drill sergeant to recruiter duty, instructor, or staff to similar positions). It is possible these situations will occur due to direct assignment from the Department of the Army. NCOs should seek the harder, more professionally rewarding, leadership positions: team leader, squad leader, section leader, platoon sergeant, and first sergeant. They should round out their careers with battalion/brigade operations experience.

(1) *Private (PVT)-SPC/CPL.*
*(a) Institutional training.* One station unit training (OSUT), Primary Leadership Development Course (PLDC).
*(b) Operational assignments.* The focus during the early years of a soldier's career should be on building a strong base of technical expertise in equipment, basic MOS skills, and common soldier tasks.
*(c) Self-development.* Soldiers should become familiar with and study the following military publications: FM 21–20, FM 22–5, AR 670–1, FM 21–75, FM 21–11, and all-10 level maintenance manuals associated with their equipment. The following is the suggested reading list: Art of War (Sun Tzu), The Forgotten Soldier (Sajer, Guy), The Killer Angels (Shaara, Michael). The OPTEMPO of tactical assignments limits the opportunity for civilian education, but if you are willing to make sacrifices, then the chances are there. If you are unable to pursue formal civilian courses CLEP and DANTES are available; again these are based on the individual soldiers' own desire to excel. There are, however, ample opportunities to participate in various types of correspondence courses.
*(d) Additional training.* Airborne, Air Assault, Javelin/Dragon, Sniper, Rappel Master.
*(e) Special assignments.* Recruiter programs (must volunteer).

(2) *SGT.*
*(a) Institutional training.* PLDC (for conditional promotion to SGT, see AR 600–8–19), and BNCOC.
*(b) Operational assignments.* The focus during this phase of a soldier's career should be on developing leadership skills, honing on technical expertise, and laying a foundation of tactical knowledge. Team leader and squad leader positions should be sought out.
*(c) Self-development.* Soldiers should study and master the following military publications: FM 1, FM 3–0, FM 3–25.26, FM 22–100, FM 25–100, FM 25–101, all -10 level maintenance manuals associated with their equipment, and all battle drills that are associated with current assignment. The following is the suggested reading list: Common Sense Training (Collins, Presidio Press, 1980, ISBN 0–89141–046–5), Small Unit Leadership (Malone, Mike), Rules for Leadership; Improving Unit Performance (Blade, National Defense University Press, 1986, 88–28556), Guide to Effective Military Writing (McIntosh, Stackpole Books), Readings on famous military leaders; that is, Napoleon, Grant, Lee, Pershing, Patton, Bradley, Ridgeway, Westmoreland, Schwartzkopf, The Story of the Noncommissioned Officer Corps (Center for Military History, 70–38), Attacks (Rommel), When bad things happen to good people (Kushner, Harold S). Seek opportunities to pursue college level courses.

*(d) Additional training.* Light Leaders Course, Bradley Transition Course, Anti-Armor Leaders Course, Ranger, Airborne, Air Assault, Jumpmaster, Sniper, Master Fitness, Rappel Master, Master Gunner (SGT promotable).
*(e) Special assignments..* Drill sergeant (SGT promotable).

(3) *SSG.*
*(a) Institutional training.* BNCOC (for conditional promotion to SSG, see AR 600–8–19), ANCOC, and Battle Staff Course.
*(b) Operational assignments.* The focus of this phase is to continue development and refinement of the leadership skills and tactical and technical expertise at the squad and platoon level. Soldiers should seek duty as squad/section leaders, possibly platoon sergeants if the opportunity is available.
*(c) Self-development.* Soldiers should study and master the following military publications: FM 3–25.26, FM 22–100, FM 25–100, FM 25–101, DA Pam 600–25, all-10 level maintenance manuals associated with their equipment, and all battle drills that are associated with current assignment. The following is the suggested reading list: Small Unit Administration (Manual or ADP Systems, Stackpole Books), The Noncommissioned Officers' Family Guide (Gross, Beau Lac Pub, 1985, ISBN 0–911980–13–X). At this stage soldiers should seek opportunities to pursue completion of an associate's degree.
*(d) Additional training.* Master gunner, Light Leaders Course, Bradley Transition Course, Anti-Armor Leaders Course, Ranger, Airborne, Air Assault, Master Gunner, Pathfinder, Jumpmaster, Rappel Master, Master Fitness.
*(e) Special assignments.* Instructor, drill sergeant, recruiter, AA/RC advisor, observer/controller.

(4) *SFC.*
*(a) Institutional training.* ANCOC (for conditional promotion to SFC, see AR 600–8–19), First Sergeants Course (First time first sergeants are required to attend the FSC prior to holding a first sergeant position), and Battle Staff Course.
*(b) Operational assignments.* The critical assignment at this stage is platoon sergeant, especially in a tactical unit. Platoon sergeant is an assignment you must seek to be qualified in the duty position and will enhance your ability to be a better leader in combat. It also increases soldier potential for selection to MSG.
*(c) Self-development.* Soldiers should study and master the following military publications: FM 3–7, FM 21–31, FM 25–100, FM 3–0, FM 25–101, DA Pam 600–25, AR 350–17, AR 750–1. The following is the suggested reading list: Readings about world politics and tensions issues, Combat Leader's Field Guide (10th Ed., Stackpole Books), Roots of Strategy, Book 2 (Picq, Clausewitz, Jomini, Stackpole Books). At this stage you should seek opportunities to pursue completion of an associate's degree.
*(d) Additional training.* Light Leaders Course, Bradley Leaders Course, Master Gunner, Anti-Armor Leaders Course, Ranger, Airborne, Air Assault, Drill Sergeant, Rappel Master, Jumpmaster, Air Tactical Operation Course, Master Fitness, Equal Opportunity Advisor.
*(e) Special assignments.* IG NCO, instructor, drill sergeant, observer/controller at a Combat Training Center (JRTC, CMTC, NTC), AA/RC advisor, ROTC, EO advisor, Career management NCO, battalion/brigade/division operations, troop command (RC), State HQ (ARNGUS), regional support command or GO command (USAR).
*d. Professional Development Model for MOS 11B.* See Professional Development Model for MOS 11B.
*e. Army career degrees.* See SOCAD Army Career Degree Program.
*f. GI to Jobs.* See GI to Jobs COOL Web site.

## Appendix C
## Values, Attributes, Skills, and Actions

### C–1. NCO leader development
*a. NCO leaders.* All noncommissioned officers are leaders. As such, a major portion of NCO professional development is directed toward leader development. With the publication of FM 22–100 in August 1999, the NCO Corps was provided a blueprint for NCO leader development.
*b. Principles.* Based on the traditional precepts or principles, "Be, Know, Do," FM 22–100 gave all Army leaders a framework that outlines the Army's leadership doctrine and theory, as well as provide a comprehensive and adaptable resource for Army leaders. Appendix B summarizes the "Army Leadership Framework" from the NCO point of view, as it addresses a leader's requirement to develop character and competence while achieving excellence. It is divided into three sections that correspond with the three leadership principles.

### C–2. The "Be" principle

The "Be" principle of "Be, Know, Do" addresses an NCO's character, or mental and ethical traits— those things that define a person as an individual and/or part of a group. It is this character that helps a leader know what is right, and gives him, or her, the courage to do what is right regardless of the circumstances. The "Warrior Ethos" of refusal to accept failure must be an integral part of the NCO's character. The categories of values and attributes fall under this principle, and they apply to all levels of NCO leadership.

### C–3. Army values

Values describe a person's attitudes about the worth of people, concepts, and other things. The Army is an institution whose members are guided by specific values common to all soldiers and leaders. Those values define who soldiers are, what they stand for, and are the building blocks that guide soldiers to discern right from wrong in any situation.

The Army values form the acronym, LDRSHIP.

*a. Loyalty.* Bear true faith and allegiance to the U.S. Constitution, the Army, your unit, and other soldiers.

*b. Duty.* Fulfill your obligations.

*c. Respect.* Treat people as they should be treated.

*d. Selfless service.* Put the welfare of the Nation, the Army, and subordinates before your own.

*e. Honor.* Live up to all the Army values.

*f. Integrity.* Do what's right—legally and morally.

*g. Personal courage.* Face fear, danger, or adversity (physical or moral).

### C–4. Attributes

Attributes, the second half of the "Be" principle, are defined as a person's fundamental or inherent traits. Although every person is born with some attributes, NCO leader attributes are learned, and categorized as mental, physical, and emotional. NCOs' attributes influence their actions, and, consequently, the unit or organization. Successful NCOs must constantly strive to improve their leader attributes.

*a. Mental attributes.*

(1) *Will.* Will is the inner drive that compels soldiers and leaders to keep going when it would be easier to quit.

(2) *Self-discipline.* Self-discipline is the control of oneself, and one's behavior; it allows leaders to do the right thing regardless of the consequences for them or their subordinates.

(3) *Initiative.* Initiative is the ability to begin or follow through with a plan or task; it is particularly evident when a situation changes or a plan falls apart. When balanced with good judgement, initiative becomes disciplined initiative, which is an essential leader attribute.

(4) *Judgement.* Good judgment is the ability to quickly size up a situation, determine what is important, and decide what needs to be done. It is the capacity to make sound and reasonable decisions and includes thinking through the consequences of what you are about to do before you do it.

(5) *Self-confidence.* Self-confidence is faith in your own abilities; that you will act correctly and properly in any situation, even one in which you are under stress and do not have all the information. It comes from competence and is based on mastering skills.

(6) *Intelligence.* Intelligence is the faculty of thought and reason; it is the capacity to acquire and apply knowledge. Intelligent leaders think, learn, reflect, and then apply what they learn to come to a decision by combining their professional skills, experience, and ability to reason through a problem.

(7) *Cultural awareness.* Culture awareness is the ability to understand varying sets of beliefs, values, and assumptions about what is important. For NCOs, this awareness applies to your own soldiers, the culture of the country where you are stationed, and the culture of other armed forces with whom you may interact. This ability empowers leaders to make use of everyone's talents and creates a team where subordinates know they are valuable and appreciated.

*b. Physical attributes.*

(1) *Health fitness.* Health fitness is all you do to maintain good health and includes physical exams, dental hygiene and personal grooming and cleanliness. A healthy soldier maintains deployability standards, can perform better in all types of environments, and is less likely to become a loss to the unit.

(2) *Physical fitness.* Physical fitness provides a foundation for unit and combat readiness. Physically fit leaders are better able to think, decide, and act appropriately under pressure, which results in feelings of competence and confidence that reassure and inspire those around them.

(3) *Military and professional bearing.* Professional military appearance and courtesy directly affect your ability to manage difficult situations. Pride in your uniform and your professional demeanor are attributes evident to all around you and send a signal of awareness and competence. The Army expects its NCOs to look good and conduct themselves professionally.
*c. Emotional attributes.*
(1) *Self-control.* Self-control is using your will to control your feelings, desires, or actions, and inspires calm confidence in subordinates. An NCO who exhibits the proper amount of self-control fosters a climate of trust and feedback from unit members.
(2) *Balance.* Balance is the means to make decisions with the proper emotion required for a particular situation. NCOs must use their experience to display the proper attitude to approach situations, thus providing their subordinates the correct perspective on events.
(3) *Stability.* Stability is characterized as constancy of purpose, which further translates into reliability and dependability. NCOs are expected to be steady, levelheaded under pressure and fatigue, and calm in the face of danger.

## C–5. The "Know" principle

The "Know" principle of the Leadership Framework addresses an NCO's competence, based on leadership skills progressively learned through training, experience, and mentoring. At each of the three levels of leadership (direct, organizational, and strategic) NCOs must constantly build their skills and competence, as well as that of their subordinates, to improve team performance. This prepares them to advance to positions of greater scope and responsibility. This competence links an NCO's character (knowing the right thing to do) with leadership (doing or influencing your people to do the right thing). Under the "Know" principle, skills are divided into four categories: interpersonal, conceptual, technical and, except at the strategic leadership level, tactical.
*a. Direct leadership level.* Noncommissioned officers at the direct leadership level influence more soldiers individually than at any other level. These NCOs lead by example, train from experience, and maintain and enforce standards. They must develop or learn those skills necessary to take care of their people and adapt to a changing world and military environment.
(1) *Interpersonal skills.* These skills are known as the "people skills," and are at the top of the list of skills an Army leader must "Know." These skills—communicating, supervising, and counseling—are all closely related. It is nearly impossible to use one without using the others, and all support the leadership skill of team building.
*(a) Communicating.* Communicating is transmitting information so that it is clearly understood, and is critical in getting soldiers to do what you want them to do, which is leadership in its most basic form. Communicating has four broad categories of speaking, reading, writing, and listening. It encompasses one and two-way communications, active listening, and nonverbal communications.
*(b) Supervising.* Supervising is checking and rechecking but still maintaining a balance to develop trust in subordinates' abilities. This balance works in conjunction with training subordinates to act independently to develop effective teams.
*(c) Counseling.* Counseling is subordinate-centered and results in a plan of action for subordinates to take ownership of and use to improve their military skills. Counseling is a skill essential to effective mentoring, and is a key element of the important leadership duty to develop subordinates.
(2) *Conceptual skills.* These skills include competence in handling ideas, thoughts, and concepts. They require the ability to think critically and to calculate and manage risk. Conceptual skills at the direct leadership level are categorized as critical reasoning, creative thinking, ethical reasoning and reflective thinking.
*(a) Critical reasoning.* Critical reasoning helps you think through problems by thinking in depth, and considering a problem from more than one point of view. It helps you to better understand a given situation, and is a central aspect of decisionmaking.
*(b) Creative thinking.* NCO leaders must often apply imagination to solve new problems, or to devise new solutions to old problems through creative thinking. They must use input from subordinates, their own experience, and knowledge and rely on intuition to formulate creative solutions to problems.
*(c) Ethical reasoning.* NCOs use this skill to make the right decision for the right reasons. This is a process to define the problem, know the relevant rules, develop and evaluate courses of action, and choose the course that best represents Army values. Ethical reasoning is not a science, but rather an art that sometimes will not easily give an NCO the best answer.

*(d) Reflective thinking.* This skill requires NCOs to take information, assess it and apply it to behavior to explain why things did or did not go well. NCO leaders must be willing to change, which requires reflecting on what to do to sustain strengths and overcome weaknesses.
(3) *Technical skills.* These skills involve things (equipment, weapons, and various operating systems) that NCO leaders must understand in-depth.
*(a) Knowing equipment.* Direct NCO leaders must know their equipment, how it works, and how it operates. They must understand all the publications necessary to insure efficient and effective performance. These NCOs are the experts who are called upon to solve problems with their equipment.
*(b) Operating equipment.* NCOs who can operate their equipment properly can insure their personnel also operate it correctly. They set the example by learning how new equipment works, how it operates, use it themselves, and train their subordinates in its use.
(4) *Tactical skills.* Tactical skills enable direct level NCO leaders to use doctrine and fieldcraft to secure objectives through deployment and direction of soldiers and subordinate elements. The ultimate goal is to win battles and engagements.
*(a) Doctrine.* Understanding doctrine helps NCOs comprehend the effects of combat on soldiers, make decisions when facing an enemy, and know the available resources needed to accomplish assigned missions. Doctrinal publications give NCO leaders information on the tactical skills that are essential to master the art and science of tactics.
*(b) Fieldcraft.* Proficient fieldcraft insures the skills of soldiers to sustain themselves in the field will significantly contribute to reducing casualties. It is a basic responsibility of direct level NCOs to insure their soldiers know how to take care of themselves and provide them the means to do so.
*b. Organizational leadership level.* NCO leaders at this level must exercise both direct and organizational leadership simultaneously. Building effective teams and using mentoring and empowerment to allow subordinates to execute their assigned responsibilities is paramount for success. NCOs must approach mission accomplishment from a systems perspective and consider the organizational imperatives of doctrine, training, leader development, organization, materiel, and soldiers (DTLOMS).
(1) *Interpersonal skills.* Essential interpersonal skills for NCOs at the organizational level are similar to those of direct leaders but must be more sophisticated and encompass a greater understanding of the human psyche.
*(a) Understanding soldiers.* Understanding the human dimension gives organizational leaders the ability to motivate subordinates and encourage initiative. This understanding allows them to extend their influence beyond what they can immediately and personally observe.
*(b) Communicating.* Communicating at the organizational level requires not only close interaction with subordinates but includes dealing with other organizational leaders. Persuasion and an openness to work through controversy are skills that help NCO leaders to overcome resistance and build support at all levels.
*(c) Supervising.* Organizations pay attention to things NCOs check; however, too much supervision can undermine trust and empowerment and create a climate of fear and/or resentment. NCO leaders need skills for different levels of supervision and know subordinates well enough to supervise at the appropriate level.
(2) *Conceptual skills.* The importance of conceptual and analytical skills increases as organizational NCO leaders take on positions of greater responsibility. They must address problems that are more abstract, complex, and uncertain. Critical thinking at the organizational level requires an understanding of systems and an ability to quickly filter information.
*(a) Establishing intent.* By relaying the commander's intent, NCO leaders highlight key tasks that support the mission and are the basis for subordinate leaders to exercise initiative when unanticipated opportunities or situations arise. These NCOs must visualize the sequence of activities that will move their organization from where it is to the commander's desired end state, and they must express that sequence as simply and clearly as possible.
*(b) Filtering information.* NCO leaders must communicate clearly to their subordinate units and leaders what information they require, and then, based on their broad perspective of the situation, experience, training and education, decide what is needed to make well informed and timely decisions. These key NCOs must understand their role in supporting the Commander's Critical Information Requirements (CCIR) and use feedback systems to supervise
execution of mission requirements.
*(c) Understanding systems.* Organizational NCO leaders use a systems perspective to understand, analyze, fine-tune, and monitor the outcome of their systems. They must also understand how their system operations affect, and interact with, others outside their own organization. Understanding and leveraging systems increases an NCO leader's ability to meet organizational goals and objectives.

(3) *Technical skills.* With greater responsibilities and to coordinate with other organizations, NCOs must remain proficient in direct level skills and master technical skills outside of their original areas of expertise.
*(a) Maintaining critical skills.* Every organization has certain skills in which all members must maintain proficiency. NCO leaders retain expertise in certain direct leader skills used to assess tactical training and set the example for all organization members.
*(b) Resourcing.* Organizational NCO leaders must employ the skill of resourcing time, equipment, facilities, budgets, and people to meet their goals. They must be able to evaluate objectives, anticipate resource requirements, and efficiently allocate resources to meet the organization's requirements.
*(c) Predicting second and third order effects.* The wide-ranging effects of decisions by organizational NCO leaders require sensitivity to how their actions, conscious or unconscious, affect the organization's climate. The ability to understand and predict second and third order effects helps to assess the health of the organizational climate and provides constructive feedback to subordinates.
(4) *Tactical skills.* NCO leaders at the organizational level use their direct leadership experience to build tactical skills in employing units of battalion size and larger. To meet these requirements, they must understand the skills of synchronization and orchestration.
*(a) Synchronization.* Synchronization pertains to the tactical level of war. It involves arranging activities in time, space, and purpose to focus maximum relative military power at a decisive point in space and time. Synchronization may require coordinating activities for multiple engagements.
*(b) Orchestration.* Orchestration is an operational activity at corps and higher level that applies the complementary and reinforcing effects of all military and nonmilitary assets to overwhelm opponents at one or more decisive points.
*c. Strategic Leadership Level.* Strategic NCO leaders provide guidance and leadership at the highest levels of the Army. Because their influence is more indirect, and the consequences of their actions more delayed, additional skills must be developed and mastered. Strategic level NCOs, as institutional leaders, represent their organizations to soldiers, Army civilians, citizens and the media. Their decisions must have a future focus and consider factors such as Army budget constraints, Reserve Component (RC) issues, new systems acquisition, DA civilian programs, research and development, and interservice cooperation.
(1) *Interpersonal skills.* The scope and responsibilities at the strategic level require NCO leaders to have highly sophisticated interpersonal skills. They have more people to deal with internally, and, externally, have more interactions with outside agencies, the media, and foreign government representatives. With self-control, knowledge of others and the use of networks, strategic level NCO leaders influence external events through leadership, information, and access to the right people and agencies. Interpersonal skills at this level are quite different from those at the direct and organizational levels. Early NCO leader skills are focused primarily on individual communication and development, and support systems to enhance those skills. At the strategic level, interpersonal skills are necessarily focused on large, target audiences. The skills showcase the NCO leader's ability to persuade, convince, and achieve agreement with large internal staffs and outside organizations. These interpersonal skills consist of communicating, using dialogue, negotiating, achieving consensus, and building staffs.
(2) *Conceptual skills.* NCO leaders at the strategic level must have the conceptual skills to comprehend national and theater strategies and deal with diversity, complexity, ambiguity, change, uncertainty, and conflicting policies. They must be able to determine what is important now, and what will be important in the future. Designing a vision for their organization through the skill of "envisioning" provides a sense of purpose, direction, and motivation for everyone in that organization. Coupling that vision with a "developed frame of reference" helps the strategic NCO leader identify information that is most critical to a strategic situation. NCO leaders at this level must also possess the ability to "deal with uncertainty and ambiguity," which helps prepare them intellectually for a range of uncertain threats and scenarios.
(3) *Technical skills.* Technical skills at the strategic level are broader in scope than those at the direct and organizational levels. Consisting of "strategic art," "leveraging technology," and "translating political goals into military objectives," these skills require NCO leaders to apply their years of experience with a developed understanding of systems within their organizations to help turn abstract concepts into concrete actions. They must consider how their organization fits into the Department of Defense and international arena, how to apply emerging technology to improve their situation, and how to skillfully support the political goals of America's leaders.

## C–6. The "Do" principle

The "Do" principle of the Leadership Framework pertains to the actions by NCO leaders at all leadership levels. As NCO leaders move to higher levels of leadership, their actions affect a broader target audience. Actions at all levels are divided into three main categories.

• Influencing - making decisions, communicating those decisions, and motivating people.
• Operating - the things you do to accomplish your organization's immediate mission.
• Improving - the things you do to increase the organization's capability to accomplish current or future missions.

*a. Direct leadership level.* Having the knowledge and skills only prepares an NCO to assume a leadership role. Using that knowledge and those skills to act tests the true measure of a leader. NCO leaders' character and competence become evident when they "Do" those things required of a leader. Those actions say more about an NCO than anything else.

(1) *Influencing actions.* NCO leaders create an infectious environment based on their optimism, positive outlook, and sense of humor. This is especially true when they must make unpopular decisions. Their ability to communicate, make decisions, and motivate will determine their success as NCO leaders.

*(a) Communicating.* Keeping subordinates properly informed creates trust and allows them to perform their missions with a full understanding of the commander's intent. Bottom up communication ensures the NCO leaders understand the situation in subordinate units and can make the right decisions.

*(b) Decisionmaking.* NCO leaders must be able to know whether to decide, when and what to decide, and know if they understand the consequences of any decisions. Decisions are made to solve problems and involve the following problem solving steps:

• Identify the problem.
• Identify facts and assumptions.
• Generate alternatives.
• Analyze alternatives.
• Compare the alternatives.
• Make and execute your decision.

*(c) Motivating.* NCO leaders must be able to use words and examples to give subordinates the will to accomplish their missions. Methods to motivate people include empowerment, positive reinforcement, and, when necessary, negative reinforcement.

(2) *Operating actions.* Doing what is necessary to achieve an immediate objective or working to get the day's job done requires operating actions by NCO leaders. The methodology used consists of planning and preparing, executing, and assessing.

*(a) Planning and preparing.* Planning begins with a mission, and results in a proposal for executing a command decision or project. NCO leaders must be able to develop a plan beginning with a mission, specified or implied, or they may decide reverse planning is better suited to prepare a plan. As they plan, NCOs must insure their subordinates are preparing to execute the plan based on advance notice of the task and initial guidance. Rehearsal is necessary to bring all the elements of a plan together before final execution.

*(b) Executing.* Acting to accomplish the mission, while maintaining standards, is the "pay off" for NCO leaders to achieve their commanders' goals. The ultimate goal of all leaders should be to succeed in the unit's wartime mission.

*(c) Assessing.* NCOs learn by doing, but must be able to define what they have learned to benefit from the experience. This is done by assessing missions and actions during all phases of activity. Assessments must be performed with an eye always on the goals of the mission and the standards that must be maintained. They may be done as in process reviews (IPR) or after action reviews (AAR) or as leader assessments, which include a plan of action to correct weaknesses and sustain strengths.

(3) *Improving actions.* A goal of all NCO leaders should be to leave their organization in better shape than it was when they arrived. Those actions taken to meet that goal are improving actions and are categorized as developing, building, and learning.

*(a) Developing.* NCO leaders must develop their subordinates, who are the leaders of tomorrow's Army, which will improve the Army as an institution. No role is more important for NCOs than leader development to insure their subordinates are prepared to assume leadership roles. NCO leaders must use institutional training, operational assignments, self-development, and mentoring, which includes developmental counseling, to develop the newest of the Army's leaders, both commissioned and noncommissioned.

*(b) Building.* NCO leaders who build tight, cohesive teams set up their units for success. Soldiers perform for each other, and good team building develops trust and positive "we can do anything" attitudes among team members.

Team building is based on effective training and involves three stages of development, formation, enrichment, and sustainment.
*(c) Learning.* NCO leaders must use the experiences of everyone in their organization to learn how to improve the way their unit performs its missions. Effective NCOs challenge "old ways" of doing things, and look for new approaches using the latest equipment and technology. With the exception of certain safety issues, they must not allow a "zero defects" attitude to pervade their unit or to affect the actions of their subordinates. NCO leaders are the first line of defense against fear of mistakes, rigid or lockstep thinking, and mental laziness. They must ensure their organizations support a "learning environment."
*b. Organizational leadership level.* Actions by NCO leaders at the organizational level involve performing in a more complex environment. Their actions have far greater consequences for more people over a longer time than those of direct leaders.
(1) *Influencing actions.* At the organizational level, NCO leaders must be involved in the activities of the staff and subordinate leaders to help move them toward the organization's goals. Using communication, decisionmaking and motivation, they must reinforce the commander's intent and concept, acquire and assess feedback, and be present to help inspire confidence and trust.
*(a) Communicating.* Through self-assessment, NCO leaders must know their strengths and weaknesses in order to develop a leadership philosophy appropriate for their organization. They must know the purpose of the organization, and know their target audience when communicating. Knowing their commander, their subordinates, and their staff allows NCO leaders the ability to use the best method to communicate effectively.
*(b) Decisionmaking.* At the organizational level of operations there is less detailed information for NCO leaders to use in the decisionmaking process. They must use the problem-preemption approach that requires thorough vision of the organization's goals. At this level, NCO leaders must have the trust in their subordinates and staff to empower them to make decisions.
*(c) Motivating.* Success at the organizational level requires NCO leaders to create and maintain an ethical and supportive climate that uses mistakes as learning opportunities. They must foster an atmosphere that encourages subordinates to share ideas and be willing to take risks, or "think outside the box" to get the job done well.
(2) *Operating actions.* NCO leaders perform operating actions when they see, decide and act within their organizations. They emphasize teamwork and cooperation as they oversee the operating process of planning/preparing, executing, and assessing.
*(a) Systems planning and preparing.* NCO leaders must understand the systems planning process and preparation necessary to ensure training and operations receive the support needed to succeed. The systems planning process consists of seven steps:

- Establish intent.
- Set goals.
- Determine objectives.
- Determine tasks.
- Establish priorities.
- Prepare.
- Follow-up.

*(b) Executing.* Mission accomplishment is the ultimate goal for organization level NCO leaders. They must ensure forces, resources, training, and other support systems align with the mission requirement, and execution is done in line with the commander's intent and will.
*(c) Assessing.* Instinct and intuition based on experience and learning give the organization level NCO leader the ability to assess a situation accurately and reliably. This is necessary to help determine organizational weaknesses and prevent problems.
(3) *Improving actions.* Today's NCO leaders must take actions to make their organizations and subordinates better for future operations, even though the results of these actions may not be evident for years. This is done by ensuring goals that they establish include improving people and organizations.
*(a) Developing.* NCO leaders must continually develop themselves and mentor their subordinates. At the organizational level they should design and integrate purposeful leader development programs into everyday training. These programs will have clearly defined goals and objectives. NCOs must also ensure they, and their subordinate leaders, conduct developmental counseling.
*(b) Building.* Building involves combat power and teams, with the emphasis always on winning. NCO leaders help build combat power and ensure the organization is prepared for a variety of conditions and uncertainties. They do this through hard, continuous, and challenging training in peacetime, and meeting human needs, while task-organizing resources and preparing for execution during wartime. The organizational NCO leaders work to create

individual and team ownership of the organization's goals through training and information flow. Effective team building creates trust in leaders and subordinates.
*(c) Learning.* Learning is continuous and occurs throughout the organization. NCO leaders must create and support an environment conducive to learning from theirs and others' experiences. These NCOs set the tone for this sharing of experiences, drawing lessons from them and teaching those results throughout the organization.
*c. Strategic leadership level.* Strategic level NCOs operate at the highest levels of the Army. They must think and operate always in terms of strategic systems over an extended period of time. By their example, strategic level NCO leaders tell the Army story through example, and play a significant role in shaping the Army culture to influence the force and its partners inside and outside the United States. They improve the Army by developing their successors and leading needed changes in the force.
(1) *Influencing actions.* As they do at the direct and organizational levels, NCO leaders at strategic level of operations use "communicating", "decisionmaking," and "motivating" to influence their organizations and their people. However, these actions also affect the diverse and complex environment outside their organizations. Communicating often involves sharing a vision and exhibiting commitment to it. This action results in motivation among those within the organization to support that vision whole-heartedly and supports the decisionmaking process.
(2) *Operating actions.* Strategic level "planning," executing," and "assessing," as operating actions for NCO leaders, are nearly continuous, more so than at any other leadership level. NCO leaders must always be thinking of the future, as one mission moves right into another in planning, preparing, executing, or assessing, often with multiple missions running simultaneously, and at different stages. The large span of control at the strategic level requires balancing the many demands, assessing the environment and organization throughout the missions, and deciding what will be done, based on the availability of resources.
(3) *Improving actions.* Actions taken by strategic level NCOs focus on investment for the long haul to help their organization for tomorrow. A goal for NCOs at that level must be to leave the organization, and the Army, better than they found it. However, the current needs cannot be ignored, and that often requires a tradeoff between what is currently needed, and what will be needed in the future. NCO leaders help set the conditions for long-term success of their organization by developing subordinates, particularly through mentoring and institutional programs. They are also major contributors in their commanders' plans to build organizational teams and culture to meet constant change. These NCOs are key supporters in the notion of the Army being a "learning organization." Through continued self development, and learning from others' experience, NCO leaders play a major role in sustaining a learning culture within their organizations

## Student Handout 7

This Student Handout contains a blank DA FORM 4856, Developmental Counseling Form.

# Blank Developmental Counseling Form

## DEVELOPMENTAL COUNSELING FORM

For use of this form see FM 22-100.

**DATA REQUIRED BY THE PRIVACY ACT OF 1974**

AUTHORITY: 5 USC 301, Departmental Regulations; 10 USC 3013, Secretary of the Army and E.O. 9397 (SSN)
PRINCIPAL PURPOSE: To assist leaders in conducting and recording counseling data pertaining to subordinates.
ROUTINE USES: For subordinate leader development IAW FM 22-100. Leaders should use this form as necessary.
DISCLOSURE: Disclosure is voluntary.

**PART I - ADMINISTRATIVE DATA**

| Name (Last, First, MI) | Rank / Grade | Social Security No. | Date of Counseling |
|---|---|---|---|
| . | | | |

| Organization | Name and Title of Counselor |
|---|---|
| | |

**PART II - BACKGROUND INFORMATION**

**Purpose of Counseling:** (Leader states the reason for the counseling, e.g. Performance/Professional or Event-Oriented counseling and includes the leaders facts and observations prior to the counseling):

**PART III - SUMMARY OF COUNSELING**

**Complete this section during or immediately subsequent to counseling.**

**Key Points of Discussion:**

OTHER INSTRUCTIONS

This form will be destroyed upon: reassignment (other than rehabilitative transfers), separation at ETS, or upon retirement. For separation requirements and notification of loss of benefits/consequences see local directives and AR 635-200.

## Blank Developmental Counseling Form

**Plan of Action:** (Outlines actions that the subordinate will do after the counseling session to reach the agreed upon goal(s). The actions must be specific enough to modify or maintain the subordinate's behavior and include a specific time line for implementation and assessment (Part IV below):

**Session Closing:** (The leader summarizes the key points of the session and checks if the subordinate understands the plan of action. The subordinate agrees/disagrees and provides remarks if appropriate):

Individual counseled: I agree / disagree with the information above

Individual counseled remarks:

Signature of Individual Counseled: _____ Date: _____.

**Leader Responsibilities**: (Leader's responsibilities in implementing the plan of action):

Signature of Counselor: _____ Date: _____.

**PART IV - ASSESSMENT OF THE PLAN OF ACTION**

**Assessment:** (Did the plan of action achieve the desired results? This section is completed by both the leader and the individual counseled and provides useful information for follow-up counseling):

Counselor: _____ Individual Counseled: _____ Date of Assessment:

**Note: Both the counselor and the individual counseled should retain a record of the counseling.**

# Student Handout 8

This Student Handout contains 3 pages for the instruction solution for PE-1, Classification and Rating exercise.

**Directions:** As an assessor, you have observed and recorded behaviors. It is now your task to 1) classify using the attributes, skills and actions and 2) rate the behaviors as either leader strength (S) or a leader weakness (W).

A rating of "S" represents a successful performance of the task by a leader in the targeted leadership position, while a rating of “W” means that the leader needs some improvement in this area to meet the standard. Review the definition of each attribute, skill or behavior before you rate the behaviors.

1. Training stopped as soon as the mortar round landed outside the impact area. The investigating officer interviewed the platoon and found that some ammunition containers were open and left out the previous night. He also found that the aiming circle used to lay the mortars was improperly set up. When asked to show how to operate the mortar's sight, the squad leader was unable to properly perform the task two times out of five.

**Classification: Executing/Tech skills** **Rating: W.**

2. SSG Hardy spoke in a clear, articulate manner with considerable inflection, enthusiasm, and confidence. At times, however, his enthusiasm caused him to be rather lengthy in his responses, which also caused him to occasionally become sidetracked from the topic of the discussion.

**Classification: Communicating** **Rating: W.**

3. After issuing clear guidance, SSG Jones established milestones for the training and then told the team leaders that he wanted them to brief him on their plans in three days. He listened to their plans, gave recommendations, and then watched each team conduct the training.

**Classification: Planning/Tech skills** **Rating: S.**

4. SFC Jones told the new Section Chief: "I'll test your competence by giving you lots of responsibility, step aside, and watch to see how you handle it. You will either sink or swim. If you can't produce, I need to find out now so that I can get rid of you and get a replacement." The new NCO was clearly not comfortable with this plan, but before he could ask any questions, SFC Jones left the room.

**Classification: Developing/Motivating** **Rating: W.**

5. SSG James established clear standards, told team leaders what he expected, and then monitored closely to see where he could assist and to see if his expectations were met. In doing this, he ensured uniformity of performance in critical areas. His presence demonstrates the importance of the mission and the high standards he expects from the soldiers.

**Classification: Executing** **Rating: S.**

6. SFC Thomas decided to counsel every soldier in his platoon that would soon be in the window for reenlistment. He identified the six soldiers in his platoon who were in the window, checked with the reenlistment NCO, and arranged to meet with each soldier for 30 minutes. Though the sessions went well, there were numerous interruptions because SFC Thomas used the day room to meet with the soldiers.

**Classification: Planning** **Rating: W.**

7. Since SSG Foote did not have all the information she needed, she talked to the platoon sergeant and the other squad leaders. After considering the information they provided, she selected a course of action.

**Classification: Decision making** **Rating: S**

8. During a maintenance quality assurance check, an improperly adjusted vehicle winch was found. SGT Miller, the mechanic who completed the service, said he did not know this was part of the service. The vehicle's technical manual clearly shows this is one of the checks. No other problems were found during a check of the rest of the vehicle.

**Classification: Executing/Technical** **Rating: W.**

9. After calling the weather service for an update, SSG Sharpe considered the forecast, and announced that the class will be in the auditorium.

**Classification: Decision making** **Rating: S.**

10. As soon as it was evident that none of the section leaders understood the new requisitioning procedures, SSG Good took time to explain the procedures to them. He used the chalkboard to illustrate the procedures step by step and identify responsibilities. He showed them how to complete the forms and explained the advantages of the new system. After the short class, each of them seemed to understand the system.

**Classification: Developing/Technical skills** **Rating: S.**

11. Because of a long line at the supply window, the supply clerk chose to issue the tools without referring to the SOP or talking to his NCOIC. Causing property accountability problems on the shortage annex.

Classification: Decision Making Rating: W.

12. The support Platoon Sergeant was always looking for new ideas. He came up with a creative plan for resupplying the companies. Initially, there was some resistance to the new procedures because they changed the way the companies had been operating. In time, the new procedures improve resupply procedures.

Classification: Learning Rating: S.

13. SSG Wilson presented his ideas for improving TOC operations to the OPS NCOIC. The ideas were very innovative. SFC Thomas listened to the ideas but quickly discounted them as being too different from the way they had been operating.

**Classification: Learning** **Rating: W.**

14. According to his NCOIC, SPC Jones entered and sent incorrect data into the Digital Message Device during the fire mission.

**Classification: Learning** Rating: W.

15. The squad leader used the reverse planning process to insure the unit would cross the line of departure on time. He correctly considered that movement at night would be slow.

**Classification: Planning** **Rating: S.**

## Student Handout 9

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This Student Handout contains 5 Situations. The page number indicates an (L) for leader actions and an (S) for subordinate actions.

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**Title** Role Play Situations

**Instructions** Instructor should issue only the situation and roles that a specific group will use. Issue those items shortly before that group's role-play exercise.

**Contents** This handout contains 11 pages of student material needed to successfully complete this practical exercise.

| | |
|---|---|
| Situation 1: Inspecting the 1st Squad Leader's Developmental Counseling Program (Leader) | SH-9-3 (L) |
| Situation 1: Inspecting the 1st Squad Leader's Developmental Counseling Program (Subordinate) | SH-9-4 (S) |
| Situation 2: NCO of the Month (Leader) | SH-9-5 (L) |
| Situation 2: NCO of the Month (Subordinate) | SH-9-6 (S) |
| Situation 3: Leadership Assessment and Development with the 4th Squad Leader (Leader) | SH-9-7 (L) |
| Situation 3: Leadership Assessment and Development with the 4th Squad Leader (Subordinate) | SH-9-8 (S) |
| Situation 4: Mentoring the Services Section Sergeant (Leader) | SH-9-9 (L) |
| Situation 4: Mentoring the Services Section Sergeant (Subordinate) | SH-9-10 (S) |
| Situation 5: Developmental Counseling by Platoon Leader (Leader) | SH-9-11 (L) |
| Situation 5: Developmental Counseling by Platoon Leader (Subordinate) | SH-9-12 (S) |

## Situation 1

**"Inspecting the 1st Squad Leader's Developmental Counseling Program"**

**Leader:**

You are a platoon sergeant and SGT Lester is your 1st squad leader. He is your newest and junior of all squad leaders. Since his arrival to the unit, 8 months ago, you have only reviewed the quarterly developmental counseling's of his subordinates when completed as a means to monitor his integration as a new leader.

***Now you want to carry this one step further by inspecting SGT Lester's subordinate counseling program. There's no upcoming inspection, however you are doing this because it's the right thing to do. You want to ensure his program is meeting the developmental needs of his subordinates and the squad as a whole. So you have scheduled the time, notified SGT Lester of your intent and ask him to bring PFC Smith's counseling packet, which you randomly selected from his squad members. Today's date is 15 May 03, so you should see all of PFC Smith's counseling since his arrival in Sep 02.***

## Situation 1

**"Inspecting the 1st Squad Leader's Developmental Counseling Program"**

**Subordinate:**

***You are SGT Lester and arrived to your new unit 8 months ago. You are a junior SGT and assigned for the first time as a squad leader. The platoon sergeant is a stickler for proper development of subordinates and believes developmental counseling is the key in accomplishing this. During your Reception and Integration counseling the platoon sergeant laid out his expectations for the development of subordinates. You have completed all developmental counseling and assessments for each quarter and passed them on to the platoon sergeant for review. You feel you have met the mark in this aspect of leadership.***

***The platoon sergeant now informs you that he wants to inspect your counseling program to ensure you are meeting the developmental needs of your squad. He has asked you to bring in PFC Smith's counseling packet this afternoon for this inspection. He is one of your stellar troops whose counseling sessions have always gone well. You are expecting to breeze through this inspection with no problems.***

## Situation #2

**"NCO of the Month"**

**Leader:**

***You are a platoon sergeant and you just finished accompanying one of your best NCOs, SSG Seals, to the Battalion NCO of the Month board. An hour later, the Battalion CSM calls you both into his office and informs SSG Seals that he won the board.***

***You decide to call SSG Seals into your office to counsel him on his outstanding performance and hard work that he demonstrated in preparing for the board. It is well-known that the Battalion CSM takes a lot of pride in making his boards extremely competitive and winning the board is definitely no easy task.***

***During this counseling session, SSG Seals informs you that it is definitely his intent to continue on with this board process and further compete in the Brigade NCO of the Quarter board, which will be coming up in two months. You decide to take this opportunity to begin outlining a plan of action for his preparation for this board.***

## Situation #2

**"NCO of the Month"**

**Subordinate:**

***You are SSG Seals and you have been in the Army for ten years and in this unit for over six months. Earlier this morning you competed in the Battalion NCO of the Month board. An hour after the board ended, the Battalion CSM called both you and your platoon sergeant into his office and informed you that you won the board.***

***Your platoon sergeant decides to counsel you on your winning the board. During the counseling session, you inform your platoon sergeant that it is definitely your intent to continue on with the board competitions and compete in the upcoming Brigade NCO of the Quarter board.***

## Situation 3

**"Leadership Assessment and Development with the 4th Squad Leader"**

**Leader:**

You are SFC Olsen, a platoon sergeant for a horizontal construction platoon. You feel that SSG Dailey, your fourth squad leader is a competent and well-rounded leader, but know there is always room for improvement.

Lately, you have noticed that his squad has been struggling with maintenance problems. In the past month he has had more deadline vehicles than the other 3 squads combined. This is negatively impacting on your platoon's capability to complete your mission. You suspect the problem has to do with SSG Dailey's supervisory skills. So you instruct him to conduct a leadership self-assessment using Appendix B of FM 22-100 and to bring it to the performance counseling session. You observed and recorded SSG Dailey's actions last week in the motor pool and conducted a leader assessment of SSG Dailey. You identified the following:

Weaknesses:

Actions: Influencing/Motivating

- Recognize poor performance and address it appropriately
- Clearly articulate expectations
- Define requirements by issuing clear and concise orders or guidance

## Situation 3

**"Leadership Assessment and Development with the 4th Squad Leader"**

**Subordinate:**

You are SSG Dailey, the 4th squad leader within your platoon. You have your squad running like a clock. You are very pleased with the way your personnel accomplish every mission. Your platoon sergeant, the CO, and the supported units are very satisfied with the way your squad handles its operation, but you have had some maintenance problems lately.

***The platoon sergeant, SFC Olsen, notified you of an upcoming previously unscheduled performance-counseling requirement. In preparation he has asked you to perform a leadership self-assessment using Appendix B of FM 22-100 to identify areas of strengths and weakness. He also instructed you to bring this assessment to the session. You identified the following:***

Strengths:

Skills: Interpersonal

- Earn trust and respect

Technical

- Knows how to use and maintain equipment
- Possesses the expertise necessary to accomplish all assigned tasks and functions

Weaknesses:

Actions: Influencing

***Communicating:***

- Express thoughts and ideas clearly to individuals and groups

## Situation 4

**"Mentoring the Services Section Sergeant"**

**Leader:**

***You are the motor sergeant and your Services Section Sergeant, SSG Randolph, is eligible for selection to SFC in the primary zone. You assisted SSG Randolph with the preparation of his records for the board and assured him his chances for selection were very good.***

***As you had anticipated, SSG Randolph made the SFC promotion list. You expect his promotion to SFC to happen quickly, because his sequence number is low. In the mean time you want to further prepare SSG (P) Randolph for the upcoming responsibilities.***

You've congratulated SSG (P) Randolph and scheduled a developmental counseling session where you want to discuss possible expectations and offer advice on how to continue success.

## Situation 4

**"Mentoring the Services Section Sergeant"**

**Subordinate:**

***You are SSG Randolph, the Services Section Sergeant for your company motor pool. You are eligible for promotion in the primary zone and feel you have served in all positions required for selection to the next rank. You prepared your records, with some assistance from your motor sergeant, and he assured you your chances were very good for selection.***

***As anticipated, you made the SFC promotion list. Your sequence number is low and the promotion will likely take place in the very near future. You are riding high on emotions and are very excited, but you still have some doubt about what the future holds for you and maybe even some doubt in your abilities.***

The motor sergeant congratulated you and informed you that he would like to offer you some advice and guidance on what to expect. So he has scheduled a developmental counseling session. This helped to ease your anxiety concerning your doubts.

## Situation #5

**"Developmental Counseling by the Platoon Leader"**

**Leader:**

***You are 2LT Green newly assigned platoon leader who wants to integrate effectively into your platoon. Your platoon sergeant, SFC Mentor, is a seasoned platoon sergeant and takes pride in being a well-rounded professional leader. You are the fourth platoon leader assigned to the platoon within the last four years. You've heard great things about SFC Mentor and want to make a good impression.***

***You've been in the unit for nearly 30 days now and decide it's time to conduct your initial developmental counseling with the platoon sergeant. You scheduled the session, informed SFC Mentor, and now you must prepare for the counseling. OBC taught you very little about developmental counseling, but you've reviewed AR 623-205, FM 22-100, and your notes from school and feel like you know what to do.***

You've prepared SFC Mentor's DA Form 2166-8-1 and the DA Form 2166-8 using the NCOER counseling checklist as a handy reference. You go into this session with a completely filled out DA Form 2166-8-1, needing nothing but the platoon sergeant's initials and the date. You noted that it was very difficult to include much information about expectations, standards, goals, and objectives in the small block on the DA Form 2166-8-1. You're not looking forward to having to fit all of the comments about his performance next quarter into that tiny box on the form.

## Situation #5

**"Developmental Counseling by the Platoon Leader"**

**Subordinate:**

***You are SFC Mentor a platoon sergeant who has a new platoon leader, 2LT Green; he is your fourth platoon leader in the last four years. You pride yourself in being a well-rounded professional and have set the standard when developing new lieutenants. Nearly thirty days have passed since the arrival of 2LT Green and he informs you that he wants to counsel you and tells you when.***

You report to the platoon leader's office for counseling, really wondering what will take place since he hadn't discussed counseling expectations with you? Once you sit down 2LT Green lays the completed DA Form 2166-8-1 and DA Form 2166-8 in front of you and tells you to read and initial. He fully believes this is the proper way to counsel. So now you turn this into a Developmental opportunity and teach proper counseling to the platoon leader

## Student Handout 10

This Student Handout is an Observer's Checklist used to evaluate PE-2, Situations 1 thru 5.

Observer's Worksheet for use with Practical Exercise 2, (SH-5 Situations)

**Instructions:** Rate the counselor on the items below using the scale provided.

| 0 | 1 | 2 | 3 | 4 | 5 |
|---|---|---|---|---|---|
| **Not at all** | **Poor** | **Marginal** | **Satisfactory** | **Very good** | **Excellent** |

***1. Components of the Counseling Session:***

**A. Open the session.** _____
Stated the purpose of the session and established a subordinate-centered tone.

**B. Discuss the issue.** _____
Developed a mutual understanding of the situation.

**C. Develop a plan of action**. _____
Jointly identified actions to either solve problem, improve performance, or achieve goals.

**D. Close the session.** _____
Summarized key points, checked acceptance of plan of action, established follow-up measures.

***2. Leader Counseling Skills***

**A. Active Listening** _____
Gave full attention to subordinate, maintained appropriate eye contact and made appropriate gestures.

**B. Responding** _____
Checked understanding by paraphrasing or summarizing.

**C. Questioning** _____
Asked open-ended questions to gain information or provoke thought.

***Total Score: .....*** _____

***3. Comments should be provided on each component of the counseling session and leader counseling skills listed on the front side of the form.***

Overall strengths of the counseling session:

Areas where improvement is needed:

Name of Counselor: _____ Signature: _____ Date: _____

Name of Observer: _____ Signature: _____ Date: _____

# Student Handout 11

**This Student Handout Contains**

This student handout contains 20 pages of extracted material from the following publication:

**FM 7-22.7,** The Army Noncommissioned Officer Guide, 23 December 2002

| Description | Page Number |
|---|---|
| Chapter 5 | 5-1 thru 5-20 |

DISCLAIMER: The developer downloaded this extract from the U.S. Army Publishing Agency Home Page. The text may contain passive voice, misspelling, grammatical errors, etc., and may not be in compliance with the Army Writing Style Program.

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# Chapter 5

## Counseling and Mentorship

*We have the best doctrine, the best training and the best* ***equipment in the world – but our people are the Army's greatest resource***


| | Page |
|---|---|
| **Leader's Responsibility** | **5-3** |
| **Effective Army Counseling Program** | **5-5** |
| **The Counseling Process** | **5-6** |
| **Assess the Plan of Action** | **5-7** |
| **Types of Developmental Counseling** | **5-7** |
| **Event-Oriented Counseling** | **5-7** |
| **Counseling for Specific Instances** | **5-7** |
| **Performance and Professional Growth Counseling** | **5-10** |
| **The Counseling Session** | **5-13** |
| **Mentorship** | **5-16** |
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| **Sustain Mentorship** | **5-17** |
| **NCO Mentorship of Officers** | **5-18** |
| **Mentorship Builds the Future** | **5-19** |






**For more information on Counseling and Mentorship see FM 6-22 (22-100) *Army Leadership,* Appendix C, Counseling; The Army Leadership Homepage, www.leadership.army.mil; and the Army Counseling Homepage, www.counseling.army.mil.**

**For more information on the NCO Evaluation System, see AR 623-205, "Noncommissioned Officer Evaluation Reporting System," 15 May 2002.**

**For more information on mentorship, see DA PAM 600-XX, "Army Mentorship," TBP.**

# Counseling and Mentorship

5-1. At the time of the American Revolution, European armies were held together by the most severe discipline. Enlistments in Europe and England were often as long as twenty-five years, pay was very low and punishments were cruel by today's standards. To reduce desertion and motivate troops for battle, the threat of flogging, even death, was held over soldier's heads. Frederick the Great of Prussia set the tone of the period with his view that soldiers should be more afraid of their NCOs then the enemy. From the founding of the Continental Army , the European tradition of harsh discipline was rejected. Friedrich von Steuben, the Army's first trainer and himself a product of the old Prussian tradition, quickly came to understand that it would take more than threats to get American recruits to perform well on the battlefield. General George Washington agreed and together, both leaders recognized that the American soldier was an individual citizen, not an interchangeable commodity. Citizen-soldiers would have to be led, inspired and disciplined by reason, creating the need to counsel.

5-2. To best understand the value of counseling it is best to first understand its definition. Counseling is a type of communication that leaders use to empower soldiers to achieve goals. It is much more than providing feedback or direction. It is communication aimed at developing a soldier's ability to achieve individual and unit goals. Soldiers want to be counseled and will respond to counseling because they want to know what it takes to be successful in today's Army. Regardless of your leadership position, your soldiers see you as successful simply because you have achieved the level they are striving to accomplish. Leaders must provide each of their soldiers with the best possible road map to success. Today's leadership doctrine incorporates this definition in subordinate-centered communication, which leads to the achievement of individual and unit goals.

**LEADER'S RESPONSIBILITY**

5-3. Today's Army demands effective counseling. Due to the complexity of equipment, diversity of personnel and organizational structure, we have unique challenges. To overcome these problems, a leader has talent, experience and the desire to succeed. Leaders help soldiers solve their problems by guiding them to a workable solution through effective counseling. Counseling is so important it should be on the training schedule to ensure sufficient time is available to do it.

5-4. The Army's values of Loyalty, Duty and Selfless Service require us to counsel. The Army's values of Honor, Integrity and Personal Courage also require us to give straightforward feedback and the Army's value of Respect requires us to find the best way to communicate that feedback.

5-5. Leaders conduct counseling to develop soldiers to achieve personal, professional development and organizational goals, and to prepare them for increased responsibilities. Leaders are responsible for developing their soldiers. Unit readiness and mission accomplishment depend on every member's ability to perform to established standards. Supervisors must develop their subordinates through teaching, coaching and counseling. Leaders coach soldiers the same way any sports coach improves their team: by identifying weaknesses, setting goals, developing and implementing a plan of action and providing oversight and motivation throughout the process. To be effective coaches, leaders must thoroughly understand the strengths, weaknesses and professional goals of their soldiers.

*"In developmental counseling, it's a matter of sitting the soldier down and telling him not only how well he did over the last thirty days, but also of telling the soldier how he or she can improve their performance and then looking deeper down the road."*

CSM Anthony Williams

5-6. Leaders counsel because it is their duty and the primary tool in developing future leaders. For their counseling to be effective they must be honest and have the personal courage to give straightforward feedback. Through respect for the individual, leaders find the best way to communicate that guidance. Senior NCOs should develop the counseling skills of their subordinate leaders. One way to do this is for the senior NCO to sit in on a counseling session, perhaps a reception and integration counseling, and then do an AAR with the junior NCO.

- Purpose: Clearly define the purpose of the counseling.
- Flexibility: Fit the counseling style to the character of each soldier and to the relationship desired.
- Respect: View soldiers as unique, complex individuals, each with their own sets of values, beliefs and attitudes.
- Communication: Establish open, two-way communication with soldiers using spoken language, nonverbal actions, gestures and body language. Effective counselors listen more than they speak.
- Support: Encourage soldiers through actions while guiding them through their problems.
- Motivation: Get every soldier to actively participate in counseling and understand its value.

**Figure 5-1. Characteristics of Effective Counseling**

5-7. Some soldiers may perceive counseling as an adverse action. Effective leaders who counsel properly and regularly can change that perception.

# Counseling and Mentorship

Leaders conduct counseling to help soldiers become better members of the team, maintain or improve performance and prepare for the future. No easy answers exist for exactly what to do in all leadership and counseling situations. However, to conduct effective counseling, leaders should develop a counseling style with the characteristics listed in Figure 5-1.

*"You also must ensure the session is not done in a threatening manner. Nothing will destroy communications faster than if the soldier thinks there will be negative consequences to that conversation."*
CSM Daniel E. Wright

**EFFECTIVE ARMY COUNSELING PROGRAM**

5-8. Four elements are essential to the creation of an effective counseling program:

- **Education and Training** : Institutional and in units, through mentorship and self-development. The Army must first provide a base line of education to its soldiers to "show what right looks like." The Noncommissioned Officer Education System (NCOES) has the primary responsibility to educate the NCO Corps on counseling. However, NCOES cannot accomplish this alone. Unit NCO Development Programs can and must conduct training workshops to provide that base of education of what right looks like to our junior leaders.

- **Experience**: Learn by doing coupled with guidance from more senior leaders. After initial education and training, all leaders must put their skills to use. NCOs must practice counseling while at the same time receiving guidance and mentoring on how to improve counseling techniques.

- **Continued support from both the Army and leaders**: The Army's Counseling Website (www.counseling.army.mil), FM 6-22 (22-100), Appendix B and C and leaders (through spot checks and random monitoring of counseling sessions) provide the necessary support and critiques that will improve a young leader's counseling skills.

- **Enforcement**: Once NCOs have the tools (both education and support) necessary for quality counseling, leaders must hold them accountable to ensure acceptable counseling standards for both frequency and content. This is accomplished through some type of compliance program on unit inspections.

## THE COUNSELING PROCESS

5-9. Effective leaders use the counseling process. It consists of four stages:
- Identify the need for counseling.
- Prepare for counseling.
- Conduct counseling.
- Follow-up.

*"Listen to what soldiers have to say- they'll tell you everything if you listen openly. Criticize and they'll clam up. Ask what isn't working about programs even if company statistics indicate that they are running well. Soldier comments often provide insight into ways to improve things to save time and make things more meaningful."*

COL David Reaney

| | |
|---|---|
| Leaders must demonstrate certain qualities to counsel effectively:<br>▪ Respect for soldiers.<br>▪ Self and cultural awareness.<br>▪ Credibility.<br>▪ Empathy.<br>Leaders must possess certain counseling skills:<br>▪ Active listening.<br>▪ Responding.<br>▪ Questioning.<br>Effective leaders avoid common counseling mistakes. Leaders should avoid the influence of:<br>▪ Personal bias.<br>▪ Rash judgments.<br>▪ Stereotyping.<br>▪ The loss of emotional control.<br>▪ Inflexible methods of counseling.<br>▪ Improper follow-up. | The Counseling Process:<br>1. Identify the need for counseling.<br>2. Prepare for counseling:<br>• Select a suitable place.<br>• Schedule the time.<br>• Notify the counselee well in advance.<br>• Organize information.<br>• Outline the components of the counseling session.<br>• Plan counseling strategy.<br>• Establish the right atmosphere.<br>3. Conduct the counseling session:<br>• Open the session.<br>• Discuss the issue.<br>• Develop a plan of action (to include the leader's responsibilities).<br>• Record and Close the session.<br>4. Follow-up.<br>• Support Plan of Action Implementation.<br>• Assess Plan of Action. |

**Figure 5-2. Major Aspects of Counseling Process**

# Counseling and Mentorship

**ASSESS THE PLAN OF ACTION**

5-10. The purpose of counseling is to develop soldiers who are better able to achieve personal, professional and organizational goals. During the assessment, review the plan of action with the soldier to determine if the desired results were achieved. The leader and soldier should schedule future follow-up counseling sessions. Figure 5-2 summarizes the major aspects of the counseling process. Additional information on counseling is in Appendix C of FM 6-22 (22-100) and on the Army Counseling Homepage (www.counseling.army.mil).

*"Nothing will ever replace one person looking another in the eyes and telling the soldier his strengths and weaknesses. [Counseling] charts a path to success and diverts soldiers from heading down the wrong road."*

SGM Randolph S. Hollingsworth

**TYPES OF DEVELOPMENTAL COUNSELING**

5-11. You can often categorize developmental counseling based on the topic of the session. The two major categories of counseling are event-oriented and performance and professional growth.

**EVENT-ORIENTED COUNSELING**

5-12. Event-oriented counseling involves a specific event or situation. It may precede events, such as going to a promotion board or attending a school; or it may follow events, such as a noteworthy duty performance, a problem with performance or mission accomplishment, or a personal problem. Examples of event-oriented counseling include, but are not limited to these types:

- Specific instances of superior or substandard performance.
- Reception and integration counseling.
- Crisis counseling.
- Referral counseling.
- Promotion counseling.
- Separation counseling.

**COUNSELING FOR SPECIFIC INSTANCES**

5-13. Sometimes counseling is tied to specific instances of superior or substandard duty performance. For example, you tell your soldier whether or not the performance met the standard and what the soldier did right or wrong. The key to successful counseling for specific performance is to conduct the counseling session as close to the time of the event as possible.

5-14. When counseling a soldier for specific performance take the following actions:

- Tell the soldier the purpose of the counseling, what was expected and how they failed to meet the standard.
- Address the specific unacceptable behavior or action, not the person's character.
- Tell the soldier the effect of the performance on the rest of the unit.
- Actively listen to the soldier's response.
- Remain unemotional.
- Teach the soldier how to meet the standard.
- Be prepared to do some personal counseling since the lack of performance may be related to or the result of a personal problem.
- Explain to the soldier what will be done to improve performance (plan of action). Identify your responsibilities in implementing the plan of action.
- Continue to assess and follow-up on the soldier's progress. Adjust the plan of action as necessary.

**Reception and Integration Counseling**

5-15. Leaders must counsel new team members when they report in. Reception and integration counseling serves two purposes: First, it identifies and helps fix any problems or concerns that new members have, especially any issues resulting from the new duty assignment. Second, it lets them know the unit standards and how they fit into the team. Reception and integration counseling starts the team building process and lets the soldier know the leadership cares. Reception and integration counseling clarifies job titles and it sends the message that the chain of command cares. Reception and integration counseling should begin immediately upon arrival so new team members can quickly become integrated into the organization. Figure 5-3 gives some possible discussion points.

- Unit standards.
- Chain of command.
- NCO support channel (who and how used).
- On and off duty conduct.
- Personnel/personal affairs/initial clothing issue.
- Unit history, organization and mission.
- Soldier programs within the unit, such as soldier of the month/quarter/year and Audie Murphy and Sergeant Morales Board.
- Off limits and danger areas.
- Functions and locations of support activities.
- On and off post recreational, educational, cultural and historical opportunities.
- Foreign nation or host nation orientation.
- Other areas the individual should be aware of, as determined by the rater.

**Figure 5-3. Reception and Integration Counseling Points**

**Crisis Counseling**

5-16. You may conduct crisis counseling to get a soldier through the initial shock after receiving negative news, such as notification of the death of a loved one. You help the soldier by listening and providing assistance, as appropriate. Assistance may include referring the soldier to a support activity or coordinating external agency support. Crisis counseling focuses on the soldier's immediate, short-term needs.

**Referral Counseling**

5-17. Referral counseling helps soldiers work through a personal situation and may follow crisis counseling. Referral counseling also acts as preventative counseling before the situation becomes a problem. Usually, the leader assists the soldier in identifying the problem.

5-18. Outside agencies can help leaders resolve problems. Although it is generally in an individual's best interest to seek help first from his first line leader, leaders must always respect an individual's right to contact these agencies on their own. Leaders can refer the soldier to the appropriate resource, such as Army Community Services, a Chaplain, or a substance abuse counselor. Additional information on support activities can be found in Appendix B, Army Programs or in FM 6-22 (22-100), Appendix C.

*[Helping] soldiers cope with personal problems...means more than referring the soldier to another person- the chaplain, a doctor, or counselor. Until the problem is resolved, you have a soldier with a problem in your unit, so it's your problem.... Let your soldiers know what you're doing to help them solve their problems.*

FM 22-600-20, *The Army Noncommissioned Officer Guide*, 1980

**Promotion Counseling**

5-19. Commanders or their designated representatives must conduct promotion counseling for all specialists, corporals and sergeants who are eligible for advancement without waiver, but are not recommended for promotion to the next higher grade. Army regulations require that soldiers within this category receive initial (event-oriented) counseling when they attain full eligibility and then periodic (performance and personal growth) counseling at least quarterly.

**Adverse Separation Counseling**

5-20. Adverse separation counseling may involve informing the soldier of the administrative actions available to the commander in the event substandard performance continues and of the consequences associated with those administrative actions. (See AR 635-200, Chapter 1, paragraph 1-16 and Chapter 17.)

5-21. Developmental counseling may not apply when a soldier has engaged in more serious acts of misconduct. In those situations, the leader should refer the matter to the commander and the servicing staff judge advocate's office. When the leader's rehabilitative efforts fail, counseling with a view towards separation fills an administrative prerequisite to many administrative discharges and serves as a final warning to the soldier to improve performance or face discharge. In many cases, it may be beneficial to involve the chain of command as soon as you determine that adverse separation counseling might be required. The first sergeant or commander should inform the soldier of the notification requirements outlined in AR 635-200.

**PERFORMANCE AND PROFESSIONAL GROWTH COUNSELING**
**Performance Counseling**

5-22. During performance counseling, the leader conducts a review of the soldier's duty performance during the previous quarter. The leader and soldier jointly establish performance objectives and standards for the next quarter. Rather than dwelling on the past, leaders should focus the session on the soldier's strengths, areas needing improvement and potential.

# Counseling and Mentorship

*Performance counseling informs soldiers about their jobs and the expected performance standards and provides feedback on actual performance -- the best counseling is always looking forward. It does not dwell on the past and what was done, rather on the future and what can be done better.*
DA Pam 623-205, "The NCO Evaluation Reporting System 'In Brief,'" 1988

5-23. Performance counseling is required for noncommissioned officers; mandatory, face-to-face performance counseling between the rater and the rated NCO is required under the NCOER system.

5-24. Performance counseling at the beginning of and during the evaluation period facilitates a soldier's involvement in the evaluation process. Performance counseling communicates standards and is an opportunity for leaders to establish and clarify the expected values, attributes, skills and actions.

5-25. As an Army leader, you must ensure you've tied your expectations to performance objectives and appropriate standards. **You must establish standards that your soldiers can work towards and must teach them how to achieve those standards if they are to develop.**

**The NCO Evaluation Report**

5-26. The Noncommissioned Officer Evaluation Reporting System (NCOERS) is designed to –

- Strengthen the ability of the NCO Corps to meet the professional challenges of the future through the indoctrination of Army values and basic NCO responsibilities. The continued use of Army values and NCO responsibilities as evaluation criteria provides and reinforces a professional focus for the rating chain's view of performance. Over time, this results in acceptance of the values and NCO responsibilities, better performance and a stronger NCO Corps.
- Ensure the selection of the best qualified noncommissioned officers to serve in positions of increasing responsibility by providing rating chain view of performance/potential for use in centralized selection, assignment and other Enlisted Personnel Management System (EPMS) decisions. The information in evaluation reports, the Army's needs and the individual NCO's qualifications are used together as a basis for such personnel actions as school selection, promotion, assignment, military occupational specialty (MOS) classification, command sergeant major (CSM) designation and qualitative management.
- Contribute to Army-wide improved performance and professional development by increased emphasis on performance counseling. Evaluation reports provide the NCO formal recognition for performance of duty, measurement of professional values and personal traits and along with the NCO Counseling Checklist/Records are the basis for performance counseling

by rating officials. Senior/subordinate communication is necessary to maintain high professional standards and is key to an effective evaluation system.

5-27. To ensure that sound personnel management decisions can be made and that an NCO's potential can be fully developed, evaluation reports must be accurate and complete. Each report must be a thoughtful, fair appraisal of an NCO's ability and potential. Reports that are incomplete or fail to provide a realistic and objective evaluation make personnel management decisions difficult.

5-28. A single report should not, by itself, determine an NCO's career. An appraisal philosophy that recognizes continuous professional development and growth (rather than one that demands immediate, uncompromising perfection) best serves the Army and the NCO.

**Professional Growth Counseling**

5-29. Professional growth counseling is subordinate-centered communication that outlines actions necessary for soldiers to achieve individual and organizational goals and objectives. It is imperative for all leaders to conduct professional growth counseling with their soldiers to develop the leaders of tomorrow.

5-30. Professional growth counseling begins an initial counseling within 30 days of arrival. Additional counseling occurs **quarterly thereafter with an assessment at a minimum of once a month**. Counseling is a continuous process. Reception/Integration/Initial counseling must include goals/expectations for most current quarter along with long term goals and expectations.

5-31. During the counseling session a review is conducted jointly by the leader and soldier to identify and discuss the soldier's strengths/weaknesses and to create a plan of action to build upon strengths and overcome weaknesses. The leader must encourage, remain objective/positive, assist the soldier help himself and focus more towards the future. This future-oriented approach establishes short and long-term goals and objectives.

5-32. FM 6-22 (22-100), Appendix B, provides the necessary tools for the soldier to do a self-assessment based on performance indicators outlined in the leadership dimension. This self-assessment will assist soldiers in identifying their weaknesses and strengths and provide a means of improving their leadership abilities/skills. All leaders should use the performance indicators in FM 6-22 (22-100), Appendix B, as an assessment tool when counseling their soldiers. This will assist them in providing specific, precise and objective guidance to their soldiers.

# THE COUNSELING SESSION

**This is an example of a Performance/Professional Growth counseling session presented in four parts. It shows disagreement between the leader and led on the leadership assessment. This makes the counseling session difficult for both at first (each is a little defensive). SFC Lang has difficulty getting SSG Rovero to do an honest self-appraisal of his performance. The strategy in this situation is to provide SSG Rovero with clear examples of his leader behavior along with the adverse effects it is having on the soldiers and the unit.**

**SFC LANG**: Come in.
**SSG ROVERO**: Sorry I'm late, SFC Lang. I got tied up on a job that's been running late.
**SFC LANG**: Have a seat SSG Rovero and lets get started. Do you have your self-assessment with you? *[This reinforces the expectation that all leaders will prepare a self-assessment prior to developmental counseling. This also is a good technique to try in order to get the subordinate leader to start with most of the talking]*
**SSG ROVERO**: I have it here somewhere. Yes here it is. You know, SFC Lang, after I finished reading my self-assessment, I realized, hey, I'm pretty good!
**SFC LANG**: You want to know the truth? You are pretty good, but… *[Here, the leader is trying to reinforce and recognize good performance even though it's clear the leader is not satisfied with some other aspects of the subordinate leader's performance]*
**SSG ROVERO**: Thanks. But?
**SFC LANG**: Well, like you said; you always seem to be running late on jobs.
**SSG ROVERO**: Well, some of the guys have been goofing off lately and I just haven't been able to get them back in line yet, that's all. *[There can be a tendency to place blame or identify causal factors that may or may not be beyond the control of the subordinate leader]*
**SFC LANG**: Well that's why we're here.
**SSG ROVERO**: What do you mean? *[The leader can expect that some subordinates will be pretty defensive when it comes to leadership assessment. It will be viewed by some as threatening]*
**SFC LANG**: I thought we went over this last week when we set up this meeting. What'd I say then?
**SSG ROVERO**: Something about assessing my leadership strengths; areas I can improve in…
**SFC LANG**: That's part of it. The focus is on developing your leadership.
**SSG ROVERO**: That's funny, Sergeant. I was a squared away NCO until I got here. Now, all of a sudden I've got all this stuff to improve on. *[Initially, leaders can expect to have many soldiers who have never received feedback on their leadership. As developmental counseling becomes ingrained in the Army, more*

*soldiers will be comfortable and familiar with leadership assessment and development]*
**SFC LANG**: Well, leadership is a bigger part of your job now. Leadership responsibilities increase as you move up in the ranks. You've got a lot of attributes in your favor. Like I said, you have very good technical skills, but… *[Again, the leader reinforces the good performance while still trying to get the subordinate leader to admit and 'own up' to the shortcomings that need improvement]*

**SSG ROVERO**: I run a good shop. Our supply room is always stocked – nobody ever has to borrow a tool from another company. And I go to bat for my soldiers. Like when Hennessey needed time to take care of some family business. I helped him with that. Right? Isn't that leadership?
**SFC LANG**: Yes, but that's not the whole story… *[SFC Lang has already mentioned she has concerns with SSG Rovero's leadership. She wants SSG Rovero to tell his side of the story and complete his self-assessment. Does he think everything is going well?]*
**SSG ROVERO**: Well, okay, maybe things in the shop aren't going as smoothly as they should be. And maybe it is my fault, but…

### SSG Rovero realizes he could make some improvements in some areas.

**SFC LANG**: The way I see it, you act like you're still a mechanic instead of a supervisor. Every time I walk through the bays you're under some vehicle turning wrenches. But while you're doing that, who's making sure all the jobs in the shop are getting done? Sometimes these young mechanics we've got are just spinning their wheels. Maybe if you spent more time making the rounds and checking up on each job, we'd have a better OR rate. Plus we might be able to get out of here at a decent hour. *[SFC Lang knew this would probably*

*be a sore spot with SSG Rovero. But, this is what the supervisor is observing along with the general effect it is having on soldiers and the unit]*
**SSG ROVERO**: I don't think that is what's really happening.
**SFC LANG**: OK, I've got several observations here; let's take yesterday for example. We had three HMMWVs deadlined with electrical problems. Those new soldiers, Harris, Jones and Wilson, worked on them all day and still couldn't figure out what was causing the problem. Meanwhile, you're over with another HMMWV changing tires. *[SFC Lang did her homework. Observing and assessing is part of her daily activity around the motor pool. Specific observations of leader behavior along with the effects they are having on individuals, the unit and operational outcomes are key prerequisites to developmental activities]*
**SSG ROVERO**: Somebody had to do it.
**SFC LANG**: And are the HWMMVs up? [Links behavior to outcomes]
**SSG ROVERO**: We're working on it.
**SFC LANG**: And when did everybody finish and leave last night? *[Again this question links leader behavior to outcomes. SFC Lang asks SSG Rovero rather than tells him the outcome to promote ownership]*
**SSG ROVERO**: About twenty-one hundred.
**SFC LANG**: We have to agree on what's happening here.
**SSG ROVERO**: Maybe you're right, Sergeant. I need to work on my organizational skills. I'm not comfortable walking around with a list of jobs and checking up on people. I'd rather do it myself. *[It appears as though SFC Lang's detailed assessment resulted in SSG Rovero becoming a little more honest with himself. Given that SFC Lang also evaluates SSG Rovero, leaders can expect that soldiers might hesitate to admit to shortcomings]*
**SFC LANG**: I understand, but leaders have to learn how to assign tasks and supervise. That's the only way our soldier's will learn.
**SSG ROVERO**: OK, Sergeant.

**Once they both agree on the assessment, both SFC Lang and SSG Rovero visibly relax. From this point on, the tone of the counseling session turns visibly positive and developmental as they talk about ways to improve SSG Rovero's performance.**

**SFC LANG**: So what could you do to improve your leadership skills? *[Action plan development is a joint activity. The leader should refrain from prescribing developmental tasks unless the subordinate has no clue what to do or where to begin. Having the soldier identify the developmental task also promotes ownership and additional motivation to follow through]*
**SSG ROVERO**: I know I need to learn how to delegate tasks. I could prioritize the work that needs to be done and assign jobs based on experience. That way I could spend more time training and supervising my more inexperienced soldiers. *[This reinforces the concept that leaders should solicit the input of their soldiers and peers and include them in the decision-making process]*
**SFC LANG**: Sounds like you have a good plan. Remember, all your soldiers need your supervision. *[SFC Lang is making a subtle correction here to put a little more structure into this developmental plan.]*
**SSG ROVERO**: Thanks for your help, Sergeant.

## MENTORSHIP

5-33. Mentorship, probably the singular most misunderstood word surrounding counseling and leadership. To best understand mentorship, it is best to first define it. Mentorship is a voluntary, developmental relationship that exists between a person of greater experience and a person of lesser experience. Mentorship is not just a fancy buzzword. It is a proven approach and a valuable tool for NCO leaders.

*"The experiences of the mentor when shared gives the soldier a comparative view to allow the soldier to develop and grow. The mentor is the sage old owl who has been there and done that and uses the experience to counsel wisely that young soldier."*

CSM A. Frank Lever, III

5-34. Note that no specific action is exclusively "mentoring." In fact, the term "mentoring" is often used to describe a wide array of actions that outside of a mentorship relationship refer to the core of leader development such as counseling, teaching, coaching, role modeling, advising and guiding.

*To be an effective mentor, you need the experience and wisdom of your years. You also have to care. If you really care about your soldiers, then you will devote the necessary time and attention to guiding them. Mentoring can take place anywhere. It is a key way to lead and to strengthen Army values.*

DA Pam 600-25, "NCO Development Program," 1987

## DEVELOPMENTAL RELATIONSHIP

5-35. Mentorship is clearly a developmental relationship and noncommissioned officers have a mandate to develop their soldiers. Given that fact, shouldn't all leader-follower relationships be considered mentorship? Or why confuse the issue by labeling as mentorship what is in the essence, good leadership? Why do we need mentorship? When those mandated leader development actions occur within a mentorship relationship, their potential impact is greatly magnified, both for the individual and for the Army. This increase in development is due primarily because of the high degree of trust and respect that characterizes a mentoring relationship. Simply put good leadership stimulates development; mentorship magnifies that development. See Figure 5-4.

*"One of the most important responsibilities of a leader is to train, coach and mentor subordinates… Some folks might maintain a relationship with an old mentor throughout their careers and use them as a sounding board and for guidance, but most people will have several mentors over their careers. Keep in mind that a* ***mentor*** *is not a substitute for personal research, personal planning, hard work and dedication to service."*

CSM Larry W. Gammon

# Counseling and Mentorship

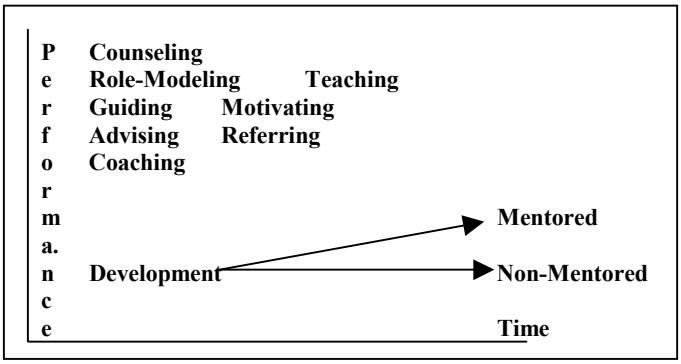


**Figure 5-4. Mentorship Development**

5-36. Mentorship can and will augment the natural development that occurs in leadership, but it is not necessary or practical in all leader-follower relationships. Soldiers will still develop if they are not mentored, but mentorship can be a key element in the development of soldiers, contributing to their greater well-being. We all have experience to give if we have the heart, the spirit and the caring attitude to share these experiences and the lessons we derive from them. Mentoring is simply giving of your knowledge to other people. To be an effective mentor, all you need is experience and the wisdom of your years and one other vital quality — ***you have to care!***

*"Soldiers want to know what's going on. They don't want to reinvent the wheel to address problems that someone else has already solved."*
CSM Cynthia A. Pritchett

**SUSTAIN MENTORSHIP**

5-37. Mentorship is demanding business, but the future of the Army depends on the trained and effective leaders whom you leave behind. Sometimes it requires you to set priorities, to balance short-term readiness with long-term leader development. The commitment to mentoring future leaders may require you to take risks. It requires you to give soldiers the opportunity to learn and develop them while using your experience to guide them without micromanaging. Mentoring will lead your soldiers to successes that build their confidence and skills for the future. The key to mentorship in the US Army is

that it is a sustained relationship and may last through the entire career of a young soldier and even into retirement.

5-38. While not a formal, mandated program like counseling, mentorship does have some very distinct characteristics that we can use as a guide for our mentoring. See Figure 5-5.

- Personal, voluntary developmental relationship existing between soldiers.
- Mentor is a close, trusted and experienced counselor or guide.
- Not bound by geographical location.
- Mutual agreement on mentoring relationship.
- Mentoring relationship devoid of conflicting interests.
- Common professional interests.
- Enduring relationship, frequency based on need, not predetermined event or time.
- Shared Army Values.
- Soldier may have more than one mentor over time.
- Two-way communications.
- Mentor must be willing to share professional knowledge, training and experience in a trusted and respected atmosphere.
- Mentor maintains confidentiality and trust.
- Sincere caring on part of the mentor.
- Relationship may be initiated by superior, peer, or subordinate.
- Can cross military, civilian, active or retired lines.

**Figure 5-5. Mentorship Characteristics**

*"Soldiers can solve 98 percent of their problems by just talking to someone about them. All you have to do is listen."*
SMA William G. Bainbridge

## NCO MENTORSHIP OF OFFICERS

5-39. Senior NCOs have a great deal of experience that is valuable to officers. An officer who has an NCO as a mentor is taking advantage of that experience and also of the unique perspective NCOs develop in leadership, training and professionalism. Even very senior officers seek trusted NCOs' advice and counsel. A mentorship relationship that is unique in the Army and the NCO Corps is the relationship between a platoon sergeant and his young platoon leader. Especially in their early years, young officers need to be paired with senior experienced NCOs. The relationship that frequently comes from this experience tends to be instrumental in the young officers' development. Young

officers may forget a lot of things about their time in the military, but they will never forget, good or bad, their first platoon sergeant.

**MENTORSHIP BUILDS THE FUTURE**

5-40. Mentorship offers unparalleled opportunities to build a better Army. If you are a noncommissioned officer and are not mentoring several promising young leaders, you are missing an important opportunity to contribute to the Army's future. Mentorship is the single, easiest way to develop young leaders. But to do so, the mentor must be willing to commit the time and energy necessary to do it right and to set the conditions for success so young leaders will seek him out to be their mentor.

*"Becoming a mentor should not be a hasty endeavor. It is not a part-time job. It is an intense relationship between teacher and student. The process requires time and caring. Effective mentors are totally committed to spending the necessary time and attention it takes to share values, attitudes and beliefs. This includes helping a soldier make career decisions and providing support and encouragement that allow leaders to grow."*

CSM Christine E. Seitzinger

**Near the end of the session, SSG Rovero starts taking charge of his action plan – identifying, without SFC Lang's assistance, things he can do to improve his leadership. As the session closes, there is a renewed air of respect and understanding between SFC Lang and SSG Rovero.**

**SFC LANG:** Why don't you read back to me what you've got. *[As developmental sessions come to a close, it is important to review tasks and confirm what was said earlier in the session]*
**SSG ROVERO:** Okay. *[Making notes to himself.]* "Conduct an AAR with the maintenance section; observe Sergeant Leroy supervising maintenance operations."
**SFC LANG:** Those should both work to improve Executing. *[SFC Lang reinforces the leadership doctrinal framework by listing developmental tasks IAW with the value, attribute, skill and/or action it is designed to improve]*
**SSG ROVERO:** One I just thought of, "develop a daily plan for supervising maintenance operations." I think if I just sat down each morning and split up the jobs better, plus figure out where I'm needed most… *[This is an ideal outcome to be sought after in developmental counseling — the subordinate leader coming up with and identifying developmental tasks. Also note the total number of tasks identified. A few clearly defined tasks with high potential for improvement and are better than numerous, ill-defined tasks with questionable outcomes]*
**SFC LANG:** Sounds good. OR rate is bound to go up. And just think of what this is going to do to everybody's motivation around here – getting home at a decent hour. And I'll let Sergeant LeRoy know you're coming over to have a look at his maintenance operations. *[Again, the action plan may very well require action on the part of the leader, not just the subordinate leader. At a minimum the leader is going to have to plan and allocate time to get out and make subsequent observations of the leader to assess whether or not improvement is being made and perhaps conduct some on-the-spot coaching].* Well, Sergeant, we've had some pretty straight talk here on things that need to improve. And don't forget you've got a lot going for you. Best technical skill I've seen. Keep up the good work. *[Action plans are also about sustaining the 'good stuff.' In closing the session, SFC Lang is conscience of the need to reinforce and communicate what SSG Rovero is doing well]*
**SSG ROVERO:** Appreciate that, SFC Lang.

5-41. During the counseling, the leader and soldier conduct a review to identify and discuss the soldier's strengths and weaknesses and create a plan of action to build upon strengths and overcome weaknesses. This counseling is not normally event-driven. The discussion may include opportunities for civilian or military schooling, future duty assignments, special programs and reenlistment options. Every person's needs are different and leaders must apply specific courses of action tailored to each soldier.